

Value Analysis Study Report



Caltrans District 11

Oversight Process Improvement for Local Projects on State Highway System



Contract No. 53A0134
Task Order No. 797



June 2011

Prepared by
ADVANTAGE



Consultant to





June 30, 2011

To: Ms. Chili Cilch, VA Program Manager – District 11
Re: Preliminary Value Analysis Report for
District 11, Oversight Process Improvement for Local Projects on SHS

Advantage Facilitation Services, on behalf of RH & Associates, Inc., is pleased to submit this Preliminary Value Analysis Study Report for the referenced project. The report is set up for double-side printing, with intentionally blank pages inserted for correct pagination.

This report summarizes the results and events of the study conducted in multiple sessions during April, May, and June 2011, at El Centro, California and the District 11 offices in San Diego, California.

It was a pleasure working with District 11 and your local partners on this project, and I look forward to working with you again in the future.

Sincerely,

A handwritten signature in purple ink that reads 'Ginger Adams'.

Ginger R. Adams, CPF, CVS
VA Study Facilitator

TABLE OF CONTENTS

PRELIMINARY

1. EXECUTIVE SUMMARY

Introduction
Oversight Requirements
Process Analysis
VA Study Results
Implementation Action

2. VALUE ANALYSIS STUDY RESULTS

Summary of VA Alternatives & Process Suggestions
VA Alternatives & Process Suggestions Documentation

3. PROCESS ANALYSIS

Summary of Analysis
Process Issues
Pre-Study Interview Questions and Summary of Answers
VA Study Goals and Objectives
Function Analysis / FAST Diagram
Performance Criteria
Creative Ideas and Evaluation

4. OVERSIGHT REQUIREMENTS

Background
Information Provided to the VA Team

5. VALUE ANALYSIS PROCESS

Introduction
Preparation
VA Study
Report
Caltrans VA Study Activity Chart
VA Study Agenda
Meeting Attendees

INTRODUCTION

This Value Analysis (VA) report summarizes the events of the VA study conducted by Caltrans District 11 and facilitated by Advantage Facilitation Services, representing RH & Associates, Inc. The subject of the study was the District's Oversight Processes as they apply to local projects on the State Highway System (SHS).

The VA study was assembled to:

- Improve the oversight process for local projects subject to Caltrans permits;
- Clarify roles and responsibilities;
- Streamline the conflict resolution process; and
- Develop/refine guidance and training.

OVERSIGHT REQUIREMENTS

Oversight projects are financed in whole or in part by a local agency. As the owner and operator of the State Highway System, Caltrans carries the responsibility to uphold the design standards developed to provide a safe and operable highway for the traveling public. The local agency shares the responsibility for public safety. Caltrans provides oversight on any project within the existing or future state highway right-of-way with a construction cost of \$300,000 or greater, where the local agency administers the construction contract. The type of permit and/or agreement between Caltrans and the local agency is primarily based on the estimated project construction cost:

- More than \$300,000 and less than \$1 million – encroachment permit (in some cases). Certain projects, such as those involving signal construction, landscaping, or sound walls, may require a cooperative or maintenance agreement.
- Over \$1 million – cooperative agreement and encroachment permit when sponsored by a local agency; highway improvement agreement (HIA) and encroachment permit when sponsored by a private entity

A local agency is defined as any public entity (federal, state, regional transportation planning agency, county, city, or other local government entity) that sponsors or administers a construction contract on the state highway system. In addition, any private entity that sponsors or administers construction contracts on the state highway system can be considered a local agency.

PROCESS ANALYSIS

The VA team analyzed the oversight processes using a variety of Value Analysis tools and the VA job plan.

A combination of a pre-study surveys and interviews, combined with VA team discussion, resulted in identifying a number of potential problem areas including, but not limited to, the following:

- Unclear communication of expectations in all directions
- Lack of response to issues and problems until they reached crisis status
- Inconsistent interpretation and application of Caltrans standards and requirements
- Apparent inexperience of some designers and construction staff with Caltrans projects
- Slow review and response times
- Apparent lack of trust

These issues formed the basis for discussing what works well and what needs improvement with the current processes, identifying evaluation criteria, generating ideas, and especially developing highly ranked ideas into VA Alternatives.

Using function analysis and Function Analysis System Technique (FAST) diagramming, the team defined the processes for partnering and oversight in functional, verb-noun terminology. It should be noted that the term partnering, as used in this context, does not refer to the formal construction partnering process. Instead, it has to do with Caltrans being a good partner with the local agencies and other stakeholders involved in local projects.

The FAST Diagrams for the processes indicate that *Approve Project* is the basic function of the oversight process, and *Foster Collaboration* is the basic function of the partnering process. *Foster Collaboration* also appears as an all-the-time function on the oversight process diagram. Some of the other functions shared between the two processes include *Align Goals*, *Identify Risks*, and *Resolve Conflicts*. The partnering and oversight processes are closely related in terms of overlapping functions and achievement of ultimate Department goals.

Performance criteria were developed in cooperation with the VA study sponsors. The following factors were used throughout the study to evaluate ideas and alternative concepts:

- Schedule
- Customer Satisfaction
- Decision-Making
- Scope Definition
- Impacts on Risk
- Impacts on Context Sensitivity

For each creative idea considered, the team indicated how the oversight process might be improved or degraded by the concept relative to each of these criteria. In addition, the team considered which of the following key functions were supported by the concept being considered:

- Foster Collaboration
- Promote Respect
- Build Trust
- Define Accountability
- Align Goals
- Create Awareness
- Approve Project
- Review Plans
- Offer Solutions
- Identify Risks
- Transfer Knowledge
- Communicate Expectations

Implementation authority and timing were also considered.

VA STUDY RESULTS

The VA team developed nineteen (19) VA Alternatives, including four (4) Process Suggestions, briefly described below, to address improvements in the oversight process. Most of the alternatives propose more formal communications, documentation, and partnering activities to enhance the working relationships between Caltrans and local partners.

Short Term Implementation – Caltrans D-11 – 6 months or less

- Alternative 1.0: Develop a communications plan for projects under \$5 million; the alternative includes a template for a communications org chart to be customized for each project.
- Alternative 2.0: Create a guidance document outlining a formal process for documenting oversight activities from start to finish; the alternative includes a list of items to include in the guidance.
- Alternative 3.0: Publish a tri-fold pamphlet with guidance and reference information for local partners. The alternative includes a draft of the proposed pamphlet.
- Alternative 4.0: For projects under \$3 million, prepare a MOU or Charter at the end of the IGA/CEQA review to identify goals and expectations, project scope and sensitivity level, schedule, and the working team from both agencies.
- Alternative 5.0: Establish a dispute resolution ladder (DRL) at the beginning of the oversight process. The alternative includes a proposed DRL to be customized with individuals' names for each specific project. A template for Elevation of a Dispute Memorandum is also included.

- Alternative 6.0 – Process Suggestion: Establish a scheduled systematic review process and procedure to ensure all Caltrans staff that will be involved in oversight are updated and informed of projects and their status. A process similar to this is being initiated in Planning IGR.
- Alternative 7.0: Institutionalize the Lessons Learned Survey that was developed and distributed prior to this VA study, for use on future projects.
- Alternative 8.0: Require a Caltrans staff member to visit the project site and meet with local agency staff when a project has been deemed sensitive.
- Alternative 9.0: Provide space at the Caltrans D-11 offices for local agency staff to facilitate review and approval of project plans.
- Alternative 10.0 – Process Suggestion: Emphasize the importance of existing guidance related to Design and Construction working together throughout the oversight and construction processes.
- Alternative 11.0 – Process Suggestion: Create an award/recognition program for local partners and stakeholders for successful projects. The program may be similar to the “Excellence in Partnering” and “Partnering Success in Motion” awards currently managed by the Caltrans HQ Construction Division.

Short Term Implementation – Local Agency – 6 months or less

- Alternative 12.0: At the City’s discretion, send the Site Plan Review (SPR) to Caltrans and the Imperial County Transportation Commission (ICTC) for additional general comments.
- Alternative 13.0: Develop local agency template conditions (similar to Caltrans Special Provisions) at the SPR for all projects that may potentially impact Caltrans facilities.
- Alternative 14.0: Develop a sensitivity (importance) rating system for local projects. The alternative includes a proposed rating form.

Longer Term Implementation – Caltrans D-11 and/or Headquarters – Timing TBD

- Alternative 15.0: Promote formal Partnering through inclusion in the coop agreement for projects ranging in cost from \$3 million to \$10 million.
- Alternative 16.0: Develop an Oversight Manual for the project development phase of locally funded projects. The alternative outlines suggested contents.
- Alternative 17.0: Initiate a formal Partnering process between the local agency and their consultants and Caltrans at the end of the IGR-CEQA process and continue through construction.
- Alternative 18.0 – Process Suggestion: Host an annual networking event at Caltrans D-11 for locals to present project exhibits for D-11 cross-functional feedback.
- Alternative 19.0: Implement training for both local partners and D-11 staff to increase awareness of typical Caltrans issues and performance requirements, and to improve internal and external supplier/customer relationships.

The detailed VA Alternatives and Process Suggestions are included in the VA Study Results section of the report.

The VA team also recommended to District 11 management that future collaborative projects, especially with Imperial County partners, include an equitable balance of travel and time by alternating locations for project meetings that involve local agency partners. This would not only reduce overall travel time for all parties, it would increase Caltrans’ awareness of local issues by visiting the project vicinity.

IMPLEMENTATION ACTION

Due to contractual limitations, the District's VA Program Manager will facilitate the implementation and final report activities.

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VA STUDY RESULTS

To improve the oversight process, the VA team developed nineteen (19) VA Alternatives, including four (4) Process Suggestions, that may be categorized as follows:

- | | |
|--------------------------------------|---|
| VA Alternatives 1.0 through 11.0: | Short Term Implementation – Caltrans D-11 <ul style="list-style-type: none">▪ May be approved at District level▪ Implementation possible in 6 to 12 month timeframe |
| VA Alternatives 12.0, 13.0 and 14.0 | Short Term Implementation – Local Agency <ul style="list-style-type: none">▪ Local agency approval required▪ Implementation possible in 6 months or less |
| VA Alternatives 15.0, 16.0 and 17.0: | Longer Term Implementation – Caltrans <ul style="list-style-type: none">▪ District and/or Headquarters approval required▪ Implementation timing to be determined |

A summary list of the VA Alternatives (including Process Suggestions) is included on the following page. The detailed write-ups follow the list.

SUMMARY OF VA ALTERNATIVES

VA Alternative No.	Title	Implementation Timing
1.0	Communications Plan for Projects Less Than \$5 Million	Short
2.0	Formalize Process for Documenting Oversight Project Activities from Start to Finish	Short
3.0	Create Pamphlet Type Guidance for Local Partners	Short (Drafted)
4.0	Develop MOU or Charter for Local Projects \$1 Million to \$3 Million	Short
5.0	Establish Escalation Ladder at Beginning of Oversight Process	Short
6.0	Process Suggestion: Caltrans Quarterly Review of Active Projects Sponsored by Others	Short (Ongoing)
7.0	Institutionalize the Lessons Learned Survey that Includes Local Partners/Key Project Stakeholders	Short
8.0	Have a Caltrans Representative Do an Initial Site Visit for Sensitive Projects	Short
9.0	Provide Space at Caltrans Office for Local Agency Staff	Short
10.0	Process Suggestion: Emphasize Importance of Existing Guidance Related to Design and Construction Working Together Throughout Construction Process	Short
11.0	Process Suggestion: Create Award/Recognition Program for Local Partners and Stakeholders for Successful Projects	Short – pilot program in D11
12.0	Local Agency Involve Caltrans Planning and ICTC During Site Plan Review Phase	Short
13.0	Develop (Local Agency) Template Conditions (Similar to Caltrans Special Provisions) for Potential Caltrans Impacts	Short
14.0	Develop Sensitivity (Importance) Rating System for Local Projects	Short

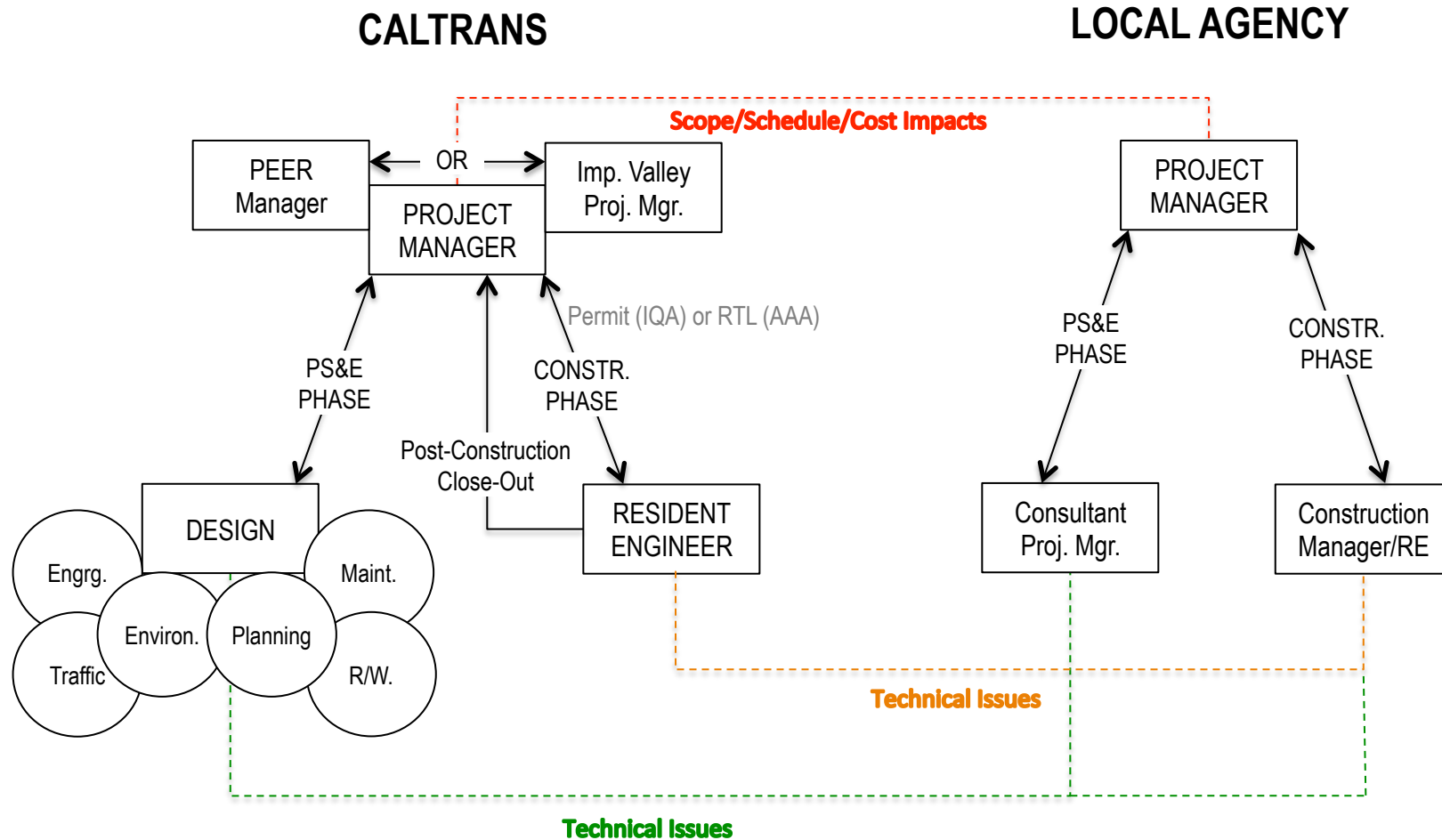
VA Alternative No.	Title	Implementation Timing
15.0	Mandate Partnering During Construction Phase for all Local Projects Over \$3 Million	Step 1: Short Step 2: Long
16.0	Develop Oversight Manual for Project Development Phase	Step 1: Short Step 2: Long
17.0	Begin Formal Partnering at Beginning of Caltrans Oversight Process	Step 1: Short – pilot program? Step 2: Long
18.0	Process Suggestion: Caltrans Host an Annual Networking Event for Locals to Present Project Exhibits for D-11 Cross-Functional Feedback	Further study required
19.0	Training for Local Partners and D-11 Staff	Long

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VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Create Awareness / Communicate Expectations		ORIGINAL IDEA NO. AG-6	VA ALTERNATIVE NO. 1.0
TITLE: Communication Plan for Projects Less Than \$5 Million		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>Communication plans are a standard process for Caltrans projects above \$5 million. It's not required for projects under \$5 million or for oversight projects unless the local agency requests it and pays for developing it.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>Prepare a communication plan for projects under \$5 million, especially those in the \$1 to \$3 million range, that follow the Permit Engineering Evaluation Report (PEER) process. The communication plan should include an organization chart indicating names of people in charge of each task, along with a brief description of their respective roles and responsibilities, from all participating agencies.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Lack of clarity on who's responsible for what actions, both from the local agency and from Caltrans, increases the potential for problems to escalate without having been addressed.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Helps identify and attack risks before they occur ▪ Facilitates escalation of disputes, if needed, when they occur (see VA Alternative AG-13) 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ Plan needs to be kept current, and immediately updated when personnel changes 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Communication Plan for Projects Less Than \$5 Million						ORIGINAL IDEA NO. AG-6	VA ALT. NO. 1.0	VA ALT. SHEET NO. 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+M	Customer Satisfaction	+H	Decision-Making	+H	Scope Definition		Impacts on Risks	+M	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Collaboration and regular communication among the team will help to keep the project on schedule by reducing the risk for surprises; increases awareness of each participating agency's expectations which will help maintain customer satisfaction; promotes timely decision making; and clarifies context sensitivity requirements from all agencies early in the process.											
IMPLEMENTATION CONSIDERATIONS: Proposed approach may require a District policy to clarify the need for communication plan with local agencies. Identify who (what position) in Caltrans will maintain the communication plan during the life of the project. Organization chart should be completed by the assigned Caltrans Project Manager at the end of the IGR/CEQA process to identify the teams.											
COST IMPACTS:											
VA TEAM RECOMMENDATION: The VA team recommends this alternative be implemented.											

CALTRANS OVERSIGHT PROJECTS COMMUNICATIONS ORG CHART



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VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Align Goals		ORIGINAL IDEA NO. AG-8	VA ALTERNATIVE NO. 2.0
TITLE: Formalize Process for Documenting Oversight Project Activities from Start to Finish		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>The oversight process comprises portions of various processes. One needs to be familiar with each of these processes to understand the entire oversight process. Also, portions of the oversight process are not clearly defined. The documentation of the oversight process has not been formalized and therefore no alert systems are in place when a project comes to a standstill. It is up to those involved in the project to recognize and elevate issues to executive staff members when they can't be resolved at lower staff level.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>This proposal would formalize the process for documenting activities throughout the entire oversight process. An outline of what process(es) should be formalized is attached.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>This will allow all parties involved with an oversight project to have access to a reference that clearly defines the oversight process and what documentation is needed. This can also define how project responsibilities are to be transitioned from one division to the next.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> Creates awareness for all parties involved in the project Roles and responsibilities are clearly defined early in the process Defines expectations for all parties Define oversight responsibility transitions from one division to the next Establishes ground rules for these projects Establishes notification requirements to executive staff on project status 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> Complicated approval process involving multiple divisions within Caltrans Ensuring compliance could be difficult 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Formalize Process for Documenting Oversight Project Activities from Start to Finish						ORIGINAL IDEA NO. AG-8		VA ALT. NO. 2.0		VA ALT. SHEET NO. 2	

PERFORMANCE IMPROVEMENT

Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:

Schedule	+H	Customer Satisfaction	+M	Decision-Making	+M	Scope Definition		Impacts on Risks		Context Sensitivity	
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	

+H, +M or +L (high, medium or low benefit)
-H, -M or -L (high, medium or low degradation)

Elaborate on the noted performance impacts:

Implementing this alternative would improve all parties' knowledge of what to expect throughout the project. It would inform all parties of what needs to occur at what time throughout the life of the project, including what might require a response to specific issues as they arise. This allows project advocates to anticipate what to expect and when awareness needs to be increased based on project sensitivity.

IMPLEMENTATION CONSIDERATIONS:

Executive Staff would need to adopt potential guidelines and the final flow chart explaining the oversight process and what documentation is necessary for the project.

COST IMPACTS:

The proposed approach would reduce resource costs expended to educate local agencies on the process for these types of projects. Would reduce project costs by reducing multiple reviews.

VA TEAM RECOMMENDATION:

The VA team recommends this VA alternative be implemented.

VA Alternative 2.0
Formalize Process for Documenting Oversight Project Activities from Start to Finish

Actions for Implementing

Policy Providing Guidance Document Defining Documentation Procedures for Oversight Projects

Items to include in Guidance:

- Define what documents are to be reviewed and retained within each phase
- Document local agency's and/or their consultants' requests for information
- Document Caltrans' response(s) to all requests for information
- Establish basic ground rules and expectations for review comments such as justification for comment made
- Require responses from project sponsor to each review comment within a specific timeframe including how each of the comments were addressed (or not)
 - Includes notifying Caltrans if a project is on hold or if conditions have changed such that a response or action on Caltrans' comments will be delayed
- Require Caltrans oversight engineer to synthesize all review comments from various Caltrans Divisions and assess their appropriateness
 - Resolve conflicting comments
 - Identify potential interpretation issues
- Resolve conflicts during any phase of the project (planning, design, construction) using specific past examples from both agencies to inform justification for a pro or con stance; use these examples as a starting point for discussion

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VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Create Awareness	ORIGINAL IDEA NO.	VA ALTERNATIVE NO.	
	AG-10	3.0	
TITLE: Create Pamphlet Type Guidance for Local Partners	VA ALTERNATIVE SHEET NO. 1		
EXISTING PROCESS: Currently, the department/district doesn’t have any brochures/pamphlet/quick reference guidance to help our local partners and their developers/consultants/contractors understand the necessity or the process to involve Caltrans for protection of the state’s mobility investment.			
PROPOSED ALTERNATIVE PROCESS: Publish and provide a three-panel, double-side printed brochures to all local agencies within Caltrans D-11 jurisdiction (see sample brochure – page 3-4 of this VA Alternative). Request that the local agencies identify a contact person to obtain/replace adequate quantities of brochures printed by D-11.			
CURRENT ISSUE THIS WILL ADDRESS: Local agencies and their respective clients (developers/consultants/contractors) often don’t fully understand CT’s IGR/CEQA, Design Oversight, and Construction Oversight’s processes, roles, and responsibilities, and are unaware of the guidance information available to them.			
BENEFITS: <ul style="list-style-type: none">▪ Relatively inexpensive to publish▪ Handy reference for finding additional information▪ Increases accountability by clearly documenting expectations and requirements▪ Helps clarify the scope of the local project development process		CHALLENGES: <ul style="list-style-type: none">▪ Maintaining enough brochures in stock for local agencies▪ Updating brochures to stay current (however, the proposed draft brochure was drafted to be general enough to stand the test of time)	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Create Pamphlet Type Guidance for Local Partners						ORIGINAL IDEA NO. AG-10	VA ALT. NO. 3.0	VA ALT. SHEET NO. 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+L	Customer Satisfaction	+M	Decision- Making	+L	Scope Definition	+H	Impacts on Risks	+M	Context Sensitivity	+M
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Hopefully, this brochure will help to prevent projects moving forward without (or with inadequate) consideration of Caltrans' role and responsibilities. This has the potential to avoid schedule delays and the cost of rework.											
IMPLEMENTATION CONSIDERATIONS: Except for the modest work involved in obtaining a final approval of a proofed/edited brochure, printing, distribution and restocking tasks, there are no challenging implementation considerations.											
COST IMPACTS: The cost (from a printing company on the web) is about \$750 for 10,000 brochures.											
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative be implemented (the brochure is essentially complete).											

Web Site Information Sources

Doing Business with Caltrans

<http://www.dot.ca.gov/doingbusiness.htm>



Caltrans Local Development Review

http://www.dot.ca.gov/hq/tpp/offices/ocp/igr_ceqa.html



Caltrans Encroachment Permits

<http://www.dot.ca.gov/hq/traffops/developserv/permits/>



Local Assistance Procedures Manual

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm>



Local Assistance Program Guidelines

<http://www.dot.ca.gov/hq/LocalPrograms/lam/lapg.htm>



Caltrans Division of Design

<http://www.dot.ca.gov/hq/oppd/index.htm>



Contractor Information

http://www.dot.ca.gov/hq/esc/oe/contractor_info/



CT Division of Construction Publications & Partnering

<http://www.dot.ca.gov/hq/construc/publicationlist.htm>

<http://www.dot.ca.gov/hq/construc/partnering.html>



Oversight Engineer Field Guidelines

[http://www.dot.ca.gov/hq/construc/publications/](http://www.dot.ca.gov/hq/construc/publications/OverSightGuidelines.pdf)

[OverSightGuidelines.pdf](http://www.dot.ca.gov/hq/construc/publications/OverSightGuidelines.pdf)

Caltrans Goals

- SAFETY -

Provide the safest transportation system in the nation for users and workers.

- MOBILITY -

Maximize transportation system performance and accessibility.

- DELIVERY -

Efficiently deliver quality transportation projects and services.

- STEWARDSHIP -

Preserve and enhance California's resources and assets.

-SERVICE-

Promote quality service through an excellent workforce.

Building Together

District 11 Reference Guide For Working with Caltrans on Local Projects Impacting the Interstate and State Highway System

- Caltrans Mission -
Improving Mobility Across California



May 2011

Caltrans D-11
4050 Taylor Street
San Diego, CA 92110
Phone: 619 688-
E-mail: _____@dot.ca.gov

Improving Mobility is a Collaborative Process

Cities, counties, Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPs), and other authorities work independently as well as with Caltrans in the development of long and short-range improvement plans. Transportation planning begins at the city and county level with the inclusion in their "General Plan."

The transportation elements developed in a local General Plan are incorporated along with air, water, congestion and environmental concerns into planning and programming documents developed by RTPAs and MPOs.

Local Development-Intergovernmental Review (LD-IGR)

LD-IGR is a mandated ongoing statewide effort focused primarily on avoiding, eliminating, or reducing to insignificance, potential adverse impacts of local development on the transportation system. Caltrans is proud to share our expertise with other jurisdictions and assist them throughout their land use planning and decision-making processes, consistent environmental regulatory goals, the Streets and Highways Code, and numerous planning and zoning laws that affect our stewardship of the State Highway System.

This Program is directed to use 'best practices' analysis methodologies that focus on: improving person-capacity of our multi-modal transportation system; efficiently moving goods and services; and accurately describing transportation tradeoffs with other community values. These values include: a sound business economy with housing near employment; a healthy 'climate change sensitive' environment, and equally safe access for both motorized and non-vehicular transportation users.

Californians have long insisted that their governments at all levels provide a high level of protection for the natural and built environment, while accommodating growth.

Since the passage of SB 45 in 1997, earlier and broader coordination, prior to formal CEQA consultations with our local partners, has increasingly been needed to insure that the development community contributes a fair share to infrastructure insufficiencies. Now, with the advent of recent climate change legislation, the role of the LD-IGR Program is expected to expand due to the increased emphasis on regional transportation plans, with traffic mitigation programs, that implement smart growth blueprints of sustainable community strategies

Local Assistance

Caltrans' Local Assistance Program oversees more than one billion dollars annually available to over 600 cities, counties and regional agencies for the purpose of improving their transportation infrastructure or providing transportation services.

This funding comes from various Federal and State programs specifically designed to assist the transportation needs of local agencies. Annually, over 1,200 new projects are authorized through the Local Assistance Program of which approximately 700 are construction projects.

Context Sensitive Solutions (CSS)
A collaborative, interdisciplinary approach that involves all stakeholders to develop a transportation facility that fits its physical setting and preserves scenic, aesthetic, historic and environmental resources, while maintaining safety and mobility.



Comprehensive Cooperative Continuing

Project Development Considerations & Design Standards

Developing a project, no matter the size or cost needs to consider numerous environmental and situational factors. The following is a partial listing of performance and safety issue examples that Caltrans staff will consider when evaluating project proposals.

- ▶ Trip Generation
- ▶ Travel Forecasting/Modeling
- ▶ Potential Traffic Conflicts
 - ▷ Congestion/Queuing
 - ▷ Difficult Traffic Weaving
 - ▷ Visibility/Sight Distance
 - ▷ Vertical Clearance
 - ▷ Adequate Vehicle Recovery Zones
- ▶ Traffic Control
 - ▷ Design Speed
 - ▷ Access Control
 - ▷ Barriers
 - ▷ Signalized Intersections & Ramp Meters
 - ▷ Delineation & Signs
- ▶ Transit
- ▶ Bicycles, Pedestrians & Americans with Disabilities Act (ADA) accommodations
- ▶ Cumulative Environmental Impacts
- ▶ Aesthetics—Landscaping
- ▶ Lifecycle—Maintenance and Operations
- ▶ Minimizing worker exposure to traffic
- ▶ Temporary construction impacts

Commitment to Partnering

Effective Partnering brings teams together with a trained, objective facilitator to establish common goals and build trust. The measurable results include lower project costs, shorter construction schedules, fewer disruptions to the traveling public, safer jobsites, fewer claims and faster project close-out.

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Foster Collaboration / Align Goals		ORIGINAL IDEA NO. AG-11	VA ALTERNATIVE NO. 4.0
TITLE: Develop a MOU or Charter (for Local Projects \$1 - \$3 Million)		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>A cooperative agreement is required for projects more than \$3 million. A PEER is required for projects between \$1 to \$3 million. If less than \$1 Million, project should go directly to the permit office.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>For projects under \$3 million, prepare a MOU or Charter at the end of IGR/CEQA review to identify goals and expectations, project scope and sensitivity level, project schedule, and the working team from all agencies.</p> <p>At an early meeting, share Lessons Learned from previous projects to share corporate knowledge and use, as applicable, on the new project.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Will help to align Caltrans processes and timelines with those of the local partner(s), so everyone is aware of each other's goals and expectations from the start.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> Will help to build trust between the participating agencies Sharing lessons learned can help to avoid pitfalls previously experienced 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> Requires local agencies to be able to access Lessons Learned database Will create an extra step to review and approve the MOU / Charter 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Develop a MOU or Charter (for Local Projects \$1 - \$3 Million)						ORIGINAL IDEA NO. AG-11		VA ALT. NO. 4.0		VA ALT. SHEET NO. 2	
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+M	Customer Satisfaction	+H	Decision-Making	+H	Scope Definition	+H	Impacts on Risks	+M	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
<div style="display: flex; justify-content: space-between;"> +H, +M or +L (high, medium or low benefit) -H, -M or -L (high, medium or low degradation) </div>											
Elaborate on the noted performance impacts: MOU/Charter will define the schedule for the project and the process to change the schedule. Customer satisfaction should improve since both parties will sign the MOU agreeing to the scope and schedule of the project. The MOU/Charter should include processes for decision making, identify potential risks in the project, and allow all agencies to agree on accepting some of those risks. Finally, the MOU should cover all context sensitivity requirements.											
IMPLEMENTATION CONSIDERATIONS: MOU/Charter should be drafted by the Caltrans project manager at the end of IGR/CEQA phase. The Planning, Design, Construction, and PPM divisions should be part of this agreement from Caltrans side. The local agency(s) should present the importance of their project with the funding plan. Lessons Learned: Need to assign someone in the closeout group in Caltrans to maintain a database for lessons learned (see VA Alternative DA-5 for method to capture the lessons learned). This database should be available for local agencies to review.											
COST IMPACTS: There will be resources required to develop the MOU/Charter as well as to maintain the Lessons Learned database.											
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative be implemented.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Align Goals		ORIGINAL IDEA NO. AG-13	VA ALTERNATIVE NO. 5.0
TITLE: Establish Escalation Ladder at Beginning of Oversight Process		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>The existing process does not include a formal escalation ladder during the Project Development phase of an oversight project. The Caltrans PM (C-PM) and Local Agency PM (LA-PM) take the lead in resolving issues.</p> <p>During construction, if Partnering is used, a Dispute Resolution Plan is developed and implemented. This includes a Dispute Resolution Ladder (DRL).</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>This proposal would establish a Dispute Resolution Ladder to escalate disputes during the Project Development phase and require a DRL during construction (whether or not Partnering is used) on all Oversight Projects. The DRL would be specific to that project and would outline specific roles for those listed. It would also outline a timeframe for each level.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Unresolved issues can cause the local agency to develop plans that may not be acceptable to Caltrans. This can cause significant schedule and cost issues when Caltrans is giving final approval of the Encroachment Permit. During construction, unresolved issues can lead to work stoppages and/or unacceptable work. This also leads to schedule delays and cost increases.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Potential cost savings ▪ Keep schedule on track ▪ Improve relations between local agency and Caltrans ▪ Improve decision making process 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ Culture change to implement new policy 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Establish Escalation Ladder at Beginning of Oversight Process						ORIGINAL IDEA NO. AG-13	VA ALT. NO. 5.0		VA ALT. SHEET NO. 2		
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+H	Customer Satisfaction	+H	Decision- Making	+H	Scope Definition	+M	Impacts on Risks	+M	Context Sensitivity	+M
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Completing the project on time and within budget will be much more likely if issues are resolved promptly. This in turn will lead to higher customer satisfaction. It will also expedite and document the tough decisions. Project scope, risk management and context sensitivity will be improved because all parties will understand the project and have similar expectations.											
IMPLEMENTATION CONSIDERATIONS: A District Policy Memorandum is required to implement this. Also, the construction guidance will have to be modified to use this portion of partnering on oversight projects that are not using formal Partnering. Local agencies should be given the opportunity to help develop this policy.											
COST IMPACTS: The cost to implement would be minor. There may be additional cost to document issues and there may be additional meetings with management staff. However, the benefits could be a major project cost savings and a decrease in schedule timeline.											
VA TEAM RECOMMENDATION: The VA Team recommends this VA alternative be implemented.											

VA Alternative 5.0

Establish Escalation Ladder at Beginning of Oversight Process

Dispute Resolution Ladder

One of the cornerstones of partnering is the Dispute Resolution Ladder (DRL), also sometimes called elevation of a dispute. Even when partnering is not being implemented, the DRL is a critical tool to maintain communication and expedite project delivery.

At the top of the ladder are the two primary parties to the contract, Caltrans and the local agency. If either of these project stakeholders has a dispute, the dispute resolution process may be used by going through the appropriate primary parties designated in the escalation ladder below. Note that these primary parties are supported by a variety of functional areas:

Within Caltrans:

- Planning
- Design
- Traffic Operations
- Environmental
- Maintenance

For the Local Agency:

- Planning
- Engineering
- Consultant(s)
- Contractors
- City Council

Each party to a dispute needs to understand the other person's position and understand it well enough that they can explain it to the other's satisfaction. The process starts at the lowest level possible for each organization and proceeds up through both organizations' hierarchy, then on to the neutral alternative dispute resolution (ADR) processes until the dispute is resolved, preferably, or an impasse is reached.

A dispute is elevated to the next higher level when 1) an agreement cannot be reached at the current level within the agreed upon time, or 2) if more than the agreed upon time has passed without a solution, or 3) by request of one of the parties at the current level, after first informing the other party, and with concurrence of those in the next higher level.

	Level	Caltrans		Local Agency	Time to Elevate
		Design Issue	Construction Issue		
DRL	I	Design Manager	Resident Engineer	City Project Engineer, Construction Manager or Resident Engineer	1 week
	II	Project Manager	Project Manager	Project Manager	1 week
	III	DDD or Corridor Manager *		Director of Public Works	1 week
	IV	District Director		City /County Manager	2 weeks
ADR	V	Facilitated Dispute Resolution			

* For Imperial County, DDD PPM

APPENDIX C

EXAMPLE ELEVATION OF A DISPUTE MEMORANDUM

RESIDENT ENGINEER LEVEL

Project Name: _____ Project Number: _____
Caltrans Dist/Org: _____ Prime Contractor: _____

This dispute is: ☐ A policy issue ☐ An administrative issue ☐ A technical/specification issue

List individuals and organizations affected by this dispute and its resolution, i.e. Design, Materials, Maintenance, Local Government, Utilities, Other Governmental Agencies, School Districts, the traveling public: _____

Name/Position/Organization: _____

Agreed upon problem: brief description of dispute needing further assistance for resolution: _____

Sub issues and dollars/days associated with each:

1. _____	4. _____	7. _____
2. _____	5. _____	8. _____
3. _____	6. _____	9. _____

Where we agree:

Where we disagree:

Additional comments or recommendations: _____

Dispute resolved ☐ No Forward to next level on _____ (date) at _____ (time)
at this level? ☐ Yes Describe resolution below:

If resolved, written feedback of the resolution was transmitted to Team Members and persons affected by this dispute on _____ (date) at _____ (time)

Caltrans Resident Engineer

Contractor Representative

VALUE ANALYSIS STUDY <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Define Accountability		ORIGINAL IDEA NO. DA-1	VA ALTERNATIVE NO. 6.0
TITLE: Caltrans Quarterly Review of Active Projects Sponsored by Others		VA ALTERNATIVE SHEET NO. 1	
PROCESS SUGGESTION			
<p>EXISTING PROCESS:</p> <p>Caltrans Planning IGR identifies through the environmental review process all on-system highway work that is proposed and sponsored by either private entities or local public agencies. These proposed projects that are funded by others are tracked by Planning IGR through what is identified as the “Project Sponsor List” and shared with Deputies and Project Managers.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>A scheduled systematic review process and procedure will be established to ensure all Caltrans staff that will be involved in oversight projects are updated and informed of projects and their status. One mechanism that is being developed is to provide a SharePoint application where project managers and other staff can actively view and update the “Project Sponsor List” and be responsible to ensure information is current and correct. All new projects, edits and changes will be tracked and monitored through Planning IGR. Planning IGR will send out Quarterly “notices,” including any updates, and request that all project managers confirm the information is current for their assigned projects identified on the “Project Sponsor List.”</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>This will assign responsibility and accountability to Caltrans’ staff identified as the Project Lead or Project Manager and establish a process to ensure information is shared and updated on a consistent basis.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> Keeps Caltrans’ staff engaged Assigns responsibility and accountability Improves staff efficiency and review time for projects funded by others Prioritizes oversight responsibilities Allocates appropriate resources in a timely manner Reduces costs and delay for project sponsors Ensures Caltrans design standards are met Streamlines permit review and approval Provides project managers and functional review staff a current project status enabling consistent bases for actions taken 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> Many project managers and project leads involved (i.e., too many hands in the cookie jar) Requires individuals to take ownership and responsibility for updating projects No control over project development for projects that are sponsored by others 	

VALUE ANALYSIS STUDY <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans		
TITLE:	Caltrans Quarterly Review of Active Projects Sponsored by Others	ORIGINAL IDEA NO. DA-1	VA ALT. NO. 6.0	VA ALT. SHEET NO. 2
IMPLEMENTATION CONSIDERATIONS: Currently working with Caltrans IT on implementation of SharePoint application.				
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative continue to be implemented.				

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Define Accountability & Foster Collaboration	ORIGINAL IDEA NO. DA-5	VA ALTERNATIVE NO. 7.0	
	VA ALTERNATIVE SHEET NO. 1		
TITLE: Institutionalize the Lessons Learned Survey that Includes Local Partners/Key Project Stakeholders			
EXISTING PROCESS: Currently there is guidance for Lessons Learned project close-out procedures and a database to record and categorize lessons learned comments managed by HQ Program/Project Management. There is also a person designated within the D-11 PPM Division to support this activity. http://pd.dot.ca.gov/pm/PMPI/LessonsLearned/index.asp			
PROPOSED ALTERNATIVE PROCESS: Towards the end of project close-out, invite internal and external project development team members and project stakeholders to complete the “Survey Monkey” lessons learned questionnaire. Create a database for inputting survey responses to track results and assess trends/recurring issues. An annual report should be submitted to executive management and any comments necessitating immediate action should be elevated to the Project Manager and/or PPM Deputy District Director.			
CURRENT ISSUE THIS WILL ADDRESS: Caltrans’ existing procedures for “Lessons Learned” is limited to internal feedback. The Survey Monkey questionnaire (copy on following pages) developed as part of this VA study and used to collect information on the Local I-8 Dogwood Interchange project is very different and more conducive for collecting both internal and external “Lessons Learned” feedback. See exhibit of survey. The survey is also designed to align the project with Caltrans’ goals. This will help focus survey participants on how the ultimate project helps to advance the shared desires for optimizing safety, mobility, delivery, stewardship, and service of the state’s transportation infrastructure.			
BENEFITS: <ul style="list-style-type: none">▪ Demonstrates to local partners that Caltrans is interested in their feedback and concerns▪ Demonstrates a willingness to acknowledge and learn from mistakes▪ Trend analysis can alert management on problems that should be addressed by adopting new policies, training and/or other outreach methods		CHALLENGES: <ul style="list-style-type: none">▪ Dedicating a staff person to manage the survey and database program that also has the expertise to ascertain when comments need immediate attention	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Institutionalize the Lessons Learned Survey that Includes Local Partners/Key Project Stakeholders						ORIGINAL IDEA NO. DA-5		VA ALT. NO. 7.0		VA ALT. SHEET NO. 2	

PERFORMANCE IMPROVEMENT

Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:

Schedule		Customer Satisfaction	+H	Decision-Making	+L	Scope Definition		Impacts on Risks	+M	Context Sensitivity	+H
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	

+H, +M or +L (high, medium or low benefit)
-H, -M or -L (high, medium or low degradation)

Elaborate on the noted performance impacts:

The most important objectives the lessons learned survey addresses is customer satisfaction - Caltrans cares!

This type of forensic analysis can be very helpful when done correctly and consistently. Measuring the effectiveness of how well we manage cost, schedule, scope, and overall project quality can lead to heightening awareness and accountability for future projects.

IMPLEMENTATION CONSIDERATIONS:

Circulate for review and comment the draft Survey Monkey questionnaire to D-11 executive managers, key functional experts, and key external partners and revise accordingly.

Develop a brief D-11 policy memo, to alert staff to the new business practice.

Project Managers should work with the D-11 Lessons Learned coordinator to develop a survey invite list for comprehensive/equitable feedback.

Input survey responses into database (Survey Monkey can export into Excel) and elevate those comments deemed important/time sensitive.

Publish an annual report of survey findings and trends, and highlight where the District is excelling and areas that need improving.

COST IMPACTS:

Staff time to distribute, input survey data and develop annual summary report.

VA TEAM RECOMMENDATION:

The VA team recommends this alternative be implemented.

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro**1.****1. What type of organization do you represent in relationship to this project?**

- ☐ Federal Agency
- ☐ State Agency
- ☐ Regional Agency
- ☐ Local Agency
- ☐ Private-sector Project Consultant/Contractor
- ☐ Private-sector Stakeholder
- ☐ Non-profit Stakeholder

Other (please specify)

2. What was your primary role in regards to this project?

- ☐ Executive Manager (Project Decision-maker)
- ☐ Executive Manager
- ☐ Project Manager
- ☐ Design Manager
- ☐ Functional Manager
- ☐ Technical Support
- ☐ Administrative Support

Other (please specify)

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro

3. What is your functional expertise in relationship to this project?

- ☐ Administration
- ☐ Construction
- ☐ Design
- ☐ Engineering - Technical Studies
- ☐ Environmental Review/Approval
- ☐ Landscape Architecture
- ☐ Maintenance
- ☐ Planning
- ☐ Program/Project Management
- ☐ Right of Way
- ☐ Traffic Operations

Other (please specify)

4. The following project elements were adequately assessed:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Scope	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Schedule	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cost	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

5. Changes to the following project elements were effectively managed:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Scope	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Schedule	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cost	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro

6. Project development expectations were clearly communicated for the following:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Programming/Funding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Milestone Approvals	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Engineering Reviews & Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environmental Reviews & Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Traffic Reviews & Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Design Requirements/Exceptions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Right of Way and/or Encroachment Permits	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Constructability/Maintainability Reviews	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Construction Partnering	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Construction Inspections	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Quality Assurance/Control	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Management (work plans, communication plans, risk management, etc)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

7. Expectations for accuracy and completeness were met for the following project deliverables:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Environmental Studies & Reports	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Geotechnical Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hydraulic Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Traffic Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Utility Studies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Item Specifications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Item Estimates	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Design Plans	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Material Testing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro

8. Adequate time was provided to effectively perform the following tasks:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Data Collection & Analysis	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Field Reviews	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Study/Report Development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Study/Report Reviews	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Plan Development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Plan Reviews	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cost Estimating	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Development Team Meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Construction Partnering Meetings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Construction Inspections	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Quality Assurance/Control	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

9. If you answer "strongly disagree" or "disagree" to the previous statements, please elaborate on the contributing problem/difficulty.

10. Documented agreements, guidance and correspondence were adequate to effectively accomplish project tasks.

- ☐ Strongly disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

11. Did unforeseen events occur that adversely impacted the project?

- ☐ Yes, to a high degree
- ☐ Yes, to a moderate degree
- ☐ No
- ☐ Not sure

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro

12. If the answer to question 11 was "Yes," please elaborate in the comment box.

13. What do you think went well with this project?

14. What do you think didn't go well with this project?

15. The completed project was successful in meeting Caltrans' Safety Goal for:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Motorists	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Non-motorists	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Construction Workers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Maintenance Workers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

16. The completed project was successful in meeting Caltrans' Mobility Goal for:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Reducing Travel Times	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Inceasing Accessibility	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

17. The completed project was successful in meeting Caltrans' Delivery Goal for:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Planning - Concept Development	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Approval - Environmental Permit	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Design	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Project Construction	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

Caltrans D-11 Lessons Learned Survey: IMP I-8 Dogwood City of El Centro

18. The completed project was successful in meeting Caltrans' Stewardship Goal for:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Natural Resources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Cultural/Community Resources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Property, Equipment Assets & Infrastructure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fiscal Resources	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

19. The completed project was successful in meeting Caltrans' Service Goal for:

	Strongly Disagree	Disagree	Agree	Strongly Agree	N/A or No Opinion
Internal Caltrans Working Relationships	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
External Working Relationships with Project Partners	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
External Project Customers/Stakeholders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

20. Optional - Please provide comments on how Caltrans District 11 can improve the content and clarity of this survey to better capture lessons learned in order to improve future projects. Thank you for your participation.

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						<h1 style="margin: 0;">Caltrans</h1>					
TITLE: Have a Caltrans Representative Do an Initial Site Visit for Sensitive Projects						ORIGINAL IDEA NO. DA-13		VA ALT. NO. 8.0		VA ALT. SHEET NO. 2	
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule		Customer Satisfaction	+H	Decision-Making	+L	Scope Definition	+L	Impacts on Risks	+L	Context Sensitivity	+H
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: This alternative will have little to no impact on the project schedule, but customer satisfaction would be high due to their knowledge that Caltrans will understand the project and its surrounding area. It will slightly improve decision making, scope definition, and potential impacts on risk for the project members that visit the site due to the additional field knowledge. As far as context sensitivity, CT staff travelling to the site would have a better understanding about why this project is sensitive and how it fits with field conditions.											
IMPLEMENTATION CONSIDERATIONS: A District Policy could be written to add this requirement or it could be included with other related Policies/Guidance. Bring this up in the mandatory all-District senior staff meeting and make sure it's incorporated in relevant training materials and course work.											
COST IMPACTS: Cost impacts would include the time for staff to travel to and from the site and the site visit itself. This may be offset by avoidance or minimization of future issues within the project due to the knowledge gained by the site visit.											
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative be implemented.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Foster Collaboration / Review Plans / Approve Plans		ORIGINAL IDEA NO. DA-14	VA ALTERNATIVE NO. 9.0
TITLE: Provide Space at Caltrans Office for Local Agency Staff		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>Space for consultants working for Caltrans or its partners may be available upon request from the Caltrans Project Manager, subject to the District's executive team's approval. The State doesn't provide consultants with telephone or computer unless they're working on a project funded by Caltrans.</p> <p>A Caltrans vendor/consultant badge may be issued for a limit of 12 months. A PM sponsor is required.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>Provide cubical space for local agency consultant/staff. This space can be shared by other local agencies' consultant staff, to facilitate the review and approval of project plans.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>This idea will help to keep Caltrans aware of the importance/sensitivity of the local project. In addition, having the consultant working with Caltrans directly will expedite design reviews, changes, and ultimate approval of the plans (and permit if required).</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> Can be especially beneficial on sensitive projects 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> Potential to leave local agencies out of the loop while their consultant is in Caltrans building dealing directly with Caltrans staff Space may be a challenge when economy is back up and Caltrans starts hiring again Local agency would have to buy in and pay for consultant 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Provide Space at Caltrans Office for Local Agency Staff						ORIGINAL IDEA NO. DA-14	VA ALT. NO. 9.0	VA ALT. SHEET NO. 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+H	Customer Satisfaction	+M	Decision- Making	+H	Scope Definition	+H	Impacts on Risks	+M	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Collaboration and regular communication between the local designer and Caltrans design staff will help to keep the project on schedule by expediting reviews, changes, and approvals; increases awareness of each participating agency's expectations, which will help maintain customer satisfaction; facilitates timely decision making; and keeps context sensitivity requirements from both agencies in the conversation as the design progresses.											
IMPLEMENTATION CONSIDERATIONS: The Caltrans District 11 executive team needs to adopt this idea, and make a space available near IGR/CEQA and the design group (potential in Building #2). The space would initially be sponsored/managed by a Caltrans Project Manager for Imperial Valley. S/he will be in charge of issuing Caltrans badges to any City or County consultant staff and will maintain the cubical sharing schedule.											
COST IMPACTS: There will be minimal D-11 effort to manage the space and logistics for local agencies, coordinate between agencies that wish to use the space, and to do any paperwork required for their badges.											
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative be implemented.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Foster Collaboration / Promote Respect / Transfer Knowledge	ORIGINAL IDEA NO. FC-13	VA ALTERNATIVE NO. 10.0	
TITLE: Emphasize Importance of Existing Guidance Related to Design and Construction Working Together Throughout Construction Process	VA ALTERNATIVE SHEET NO. 1		
PROCESS SUGGESTION			
<p>EXISTING PROCESS:</p> <p>The District 11 executive team is focused on improving the process for project delivery since it's the primary way that Caltrans is evaluated by legislators and the public. The executives depend on staff to find, review, and follow all guidance related to relationships between design and construction during the project delivery process.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>All parties of a local funded project need to work as a team and discuss issues throughout the project. This alternative recommends the executive team emphasize the importance of this team approach between the local agency, their designer, CT design oversight manager, CT construction RE, and the CT project manager throughout the life of a project. Construction should be a reviewer during the design phase of the project and design and project managers should have involvement and be aware of any construction problems, CCOs, claims, etc., and work to be part of the solution.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>During design, constructability issues may be able to be addressed sooner with construction reviewing the project. Avoidance or reduction of issues may occur if designers and project managers are part of a solution. If any one party is not involved in ongoing discussions during the life of a project, particularly those related to issues or disputes, a situation may occur and continue to grow unnecessarily, delaying the project and creating ill will among the stakeholders.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> Creates an awareness of the need to collaborate between project delivery team Reminds the team of their roles and promotes transfer of knowledge Brings the team to one goal Promotes good customer service with local agencies 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> Cultural change may be required Requires executive team support and participation 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans		
TITLE:	Emphasize Importance of Existing Guidance Related to Design and Construction Working Together Throughout Construction Process.	ORIGINAL IDEA NO. FC-13	VA ALT. NO. 10.0	VA ALT. SHEET NO. 2
IMPLEMENTATION CONSIDERATIONS: Implementation could involve a District Director all hands meeting quarterly or semi-annually. Make all Deputy District Directors and PMs, DMs, and REs wear a wristband to remind them of the importance of working together. Consider rewarding teams that demonstrate an ongoing, positive working relationship among design, construction, and the local agency partner. (See Alternative 11.0)				
VA TEAM RECOMMENDATION: The VA team recommends this process suggestion be implemented.				

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Promote Respect / Define Accountability		ORIGINAL IDEA NO. FC-14	VA ALTERNATIVE NO. 11.0
TITLE: Create an Award/Recognition Program for Local Partners and Stakeholders for Successful Projects		VA ALTERNATIVE SHEET NO. 1	
PROCESS SUGGESTION			
<p>EXISTING PROCESS:</p> <p>Caltrans has a partnering award program:</p> <ul style="list-style-type: none"> ▪ “Excellence in Partnering” awards, a statewide recognition of completed partnered projects ▪ “Partnering Success in Motion” award, to recognize ongoing projects within each district <p>For both awards, applications (see copies attached) are due by October 15th each year. Applications may be submitted by anyone involved with the project, and must be signed by the Caltrans RE and contractor equivalent person for the nominated project. Scoring is done by a team of Caltrans construction managers and industry senior executives, and evaluation includes both objective and subjective criteria. The primary goals of the awards are to celebrate success, share lessons learned of best practices, and honor all contract stakeholders. Details may be downloaded from http://www.dot.ca.gov/hq/construc/partnering.html.</p> <p>This program, managed by the Caltrans HQ Construction Division, focuses on construction only.</p> <p>PROPOSED ALTERNATIVE PROCESS:</p> <p>Develop an award/recognition program to recognize partnering/collaborative efforts during the project development phase. Allow applications to be submitted by anyone involved in the project, but require signatures of both the Caltrans Project Manager and local agency equivalent to validate information included in the application.</p> <p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Construction is the focus of the Caltrans partnering program and associated awards. No recognition for any team members during the early challenging project development phases.</p> <div> <div> <p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Builds trust between Caltrans and local partners team ▪ Improves relationship with local partners ▪ Boosts morale among the team ▪ Encourages the team to work more closely to maintain good customer service </div> <div> <p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ Resources required to develop and maintain the program ▪ Cost of awards (e.g., trophies, certificates) </div> </div>			

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
TITLE: Create an Award/Recognition Program for Local Partners and Stakeholders for Successful Projects	ORIGINAL IDEA NO. FC-14	VA ALT. NO. 11.0	VA ALT. SHEET NO. 2
<p>IMPLEMENTATION CONSIDERATIONS:</p> <p>Modify one or both of the existing application forms for use in the proposed program. Create a pilot awards program in District 11, to be managed by Public Information Office with input from the Project Manager. If successful, propose to HQ Division of Design to create similar award program for Design/Project Development phase activities. Present awards annually.</p>			
<p>COST IMPACTS:</p> <p>Resources to manage the program; cost for certificates and trophies.</p>			
<p>VA TEAM RECOMMENDATION:</p> <p>The VA team recommends this process suggestion be implemented.</p>			

2011

Project EA ____ - ____

Caltrans Excellence in Partnering Award Application

August 2010 version<http://www.dot.ca.gov/hq/construc/partnering.html>

Background

The Caltrans Excellence in Partnering Award is an annual statewide recognition of completed partnered contracts that best optimize principles of partnering.

The main purpose is to celebrate success, share lessons learned of best practices, and honor all contract stakeholders.

Eligibility

Completed partnered construction contracts with PFE and Exceptions to the PFE (if any) dated within October 2009 and September 2010.

Recognition Levels

I.	Nominee	(0 – 74 points)
II.	Bronze	(75 – 79 points)
III.	Silver	(80 – 89 points)
IV.	Gold	(90 – 100+ points)

Criteria

Caltrans Excellence in Partnering Awards are judged on both objective and subjective criteria. Applications will be scored by a team composed of Caltrans construction managers and industry senior executives.

Directions

1. Applications must be **TYPED** and completed fully. Fill out a separate application for each project nominated.
2. **The text for all sections (I through VI) may have a combined total of no more than 2000 words.** The word count is to be filled in for each section as requested and the combined total supplied in the Total Word Count space. The “word count” feature in Microsoft Word (under the tools menu) may be used to count words. **Applications will be rejected if they exceed the 2,000-word count maximum.** It is preferable that your input text be in color, such as blue or red. The word count limit applies only to the text you have added and NOT the existing application form text.
3. A maximum of five additional supporting pages (8 1/2 inches by 11 inches, **one side only**) beyond the specifically requested items may be attached to the application. Supporting pages can include text, photographs, charts, graphs or appropriate tables to highlight results. More than **five** additional pages will **NOT** be accepted. Entries become the property of Caltrans Division of Construction, and will not be returned. (The Partnering Charter, Dispute Resolution Ladder, and any other specifically requested items within this application are not counted.)
4. An electronic version of this application is available for applicants; however, **nominations must be submitted in a hard copy (six copies per entry) on 8.5x11 paper with no separator tabs.** Applicants are encouraged to retain the computer files for future use.
5. Submit a total of **six typed color copies** of each entry (application plus attachments) to the Caltrans District Construction Office in your area.
 - Mail via U.S. Mail postmarked on or before **October 15, 2010** or
 - Hand deliver to District Construction Office on or before **5:00 p.m. on October 15, 2010** (must be received and date stamped by District Construction Office).**No other form of delivery will be accepted (fax, internal mail, e-mail, etc.).**
6. All applications must be signed by the Resident Engineer of the nominated project and the prime contractor equivalent in the “Nomination Submitted by” portion.
7. In order to give all contract applications the same opportunity, applications that do not follow the above rules and format, or are received after the deadline, will not be considered for awards.
8. All six copies of each entry for contract recognition must be received by Headquarters Division of Construction by close of business on **October 22 or the next closest business day if falling on a non-work day.** All applications must be submitted directly by the Deputy District Director of Construction of the nominated project’s district to:

Partnering Program
Division of Construction, MS 44
Sacramento, CA 95814

Note: The judges look carefully at the responses to questions. Direct, pointed answers to questions without rhetoric are desired. Supporting facts and documents are very helpful. Please do not leave out requested information as it affects the overall score. To help the judges give you maximum credit, please reference any related attachments in each response, and label each attachment with the question(s)/section(s) it supports.

I. CONTRACT DESCRIPTION**(3 Points)****Section I Word Count:** _____

A) Type of Work:

B) Size: *(approximate dollar value)*C) Brief description of job site: *(describe location and unique characteristics of contract site)* Maximum 75 words

D) Partnering Initiation and Process:

1) Does your contract include the partnering standard specification that requires professionally facilitated partnering on all projects over \$10 million? ☐ Yes or ☐ No2) Initial / Kick-off Workshop was: ☐ Self Facilitated or ☐ Professionally Facilitated3) Was Partnering Skills Development Training held for the project team? ☐ Yes or ☐ No

If yes, what topics were covered? (1 to 4 allowed per spec.)

If yes, how many team members attended? _____

If yes, Instructor name and company: _____

4) Total number of Partnering Sessions held during contract: _____

5) Partnering Facilitator name and company, if applicable:

6) Was a Partnering Close-out / Lessons Learned session held? ☐ Yes or ☐ No

II. LIST ALL STAKEHOLDERS**(5 Points)**

(Identify entity and involvement or scope of work):

Section II Word Count: _____

III. WHY THIS CONTRACT?**(14 Points)**

Describe why the contract should receive a Caltrans Excellence in Partnering Award. This may include challenges or obstacles overcome, awards, special efforts. Mention joint problem-solving examples or methods used. *(Answer in 300 words or less. Note that the national Marvin M. Black award application limits this section to 250 words.)*

Section III Word Count: _____

CONTRACT RESULTS

IV. OBJECTIVE CRITERIA

(46 Points)

Section IV Word Count: _____

Explain each item in no more than one or two short paragraphs.

- A) Was a Partnering Charter prepared? Include a signed copy. **(5 Points, 0 if Charter not attached)**
(Describe the process used to prepare the Charter.)

- B) How were the goals of the charter evaluated or measured? Were they realized? **(8 Points)**
(Describe the partnering evaluation process on this contract. Include sample copies of monthly partnering evaluation survey and results.)

- C) What was the safety record for all jobsite employers? **(8 Points)**
(Include loss time injury.)

- D) Did the contract come in at or under budget of contract allotment? **(5 Points)**
(Provide planned cost vs. actual cost.)

- E) Did the contract come in on or ahead of schedule? **(5 Points)**
(Provide contract working days + additional CCO working days vs. actual working days in the contract. Show all three numbers.)

- F) Describe your issue resolution procedure and show evidence. **(5 Points, 0 if no evidence)**
(Cite examples.)

- G) How were potential claims resolved before contract acceptance? **(8 Points)**
(Provide brief descriptions and dollar values of resolved potential claims.)

- H) How many claims were filed on the contract after Proposed Final Estimate (PFE)? **(2 Points)**
(Provide brief descriptions and dollar values.)

V. SUBJECTIVE CRITERIA**(32 Points)**

Section V Word Count: _____

Explain each item in no more than one or two short paragraphs.

- A) Describe how trade/craft foremen and workers were involved in the project partnering process. **(5 Points)**
- B) Describe how subcontractors were involved in the project partnering process. **(5 Points)**
- C) Describe project relations and on-going relationships with key stakeholders. **(4 Points)**
(Supply testimonial letters if possible.)
- D) Explain how the project partnering process was instrumental to the successful completion of the project. **(5 Points)**
- E) Identify any innovative ideas that evolved through the project partnering process. **(6 Points)**
(Examples may relate to cost savings, value engineering, improved productivity, quality, etc.)
- F) Discuss details about how you attained overall contract quality beyond what was specified in the contract. **(4 Points)**
- G) List any teambuilding activities. Describe any unique motivational activities employed. **(3 Points)**

VI.BONUS POINTS**(Up to 4 Points maximum)****Section VI Word Count:** _____

- A) Explain any special adaptations or refinements that were actually made to improve the project partnering process to fit this particular contract.
(This may relate to the frequency and type of meetings; specific process implementation methods; how the facilitator, field staff, subcontractors, executives, and other stakeholders were involved; evaluation methods; techniques used to keep team members engaged, etc.) (2 Points)
- B) Offer your ideas of how the project partnering process could be improved, which would have benefited this project and may benefit future partnered projects.
(This may include ways to improve the whole partnering process, ways to optimize process implementation, lessons learned to date (good and bad), and actions you will take in future projects.) (2 Points)
- C) What is the average participation level of your project's Monthly Partnering Evaluation Survey throughout the life of the project?
(This is the monthly average number of team members that completed the survey compared to the monthly average number of team members invited to take the survey. Show both numbers and the percentage. If your project partnering has been professionally-facilitated, then your partnering facilitator should be able to provide this info.) (2 Points)

Total Application Word Count: _____ (Sum of Sections I through VI)

Caltrans
Excellence in Partnering Award
Applicant Survey

The Statewide Partnering Recognition Team is committed to continuous improvement. Your feedback as our customer is extremely important. Please take a moment to complete this survey, and **return it with your award application**. The information you provide will be used to improve next year’s Contract Partnering Recognition.

Please indicate your reaction to each of the following:

	Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree
Partnering is making a difference in my district.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Caltrans Excellence in Partnering Award Application was easy to understand.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Application 2000-word count limit was enough space to explain the contract’s Partnering process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Our contract team was given enough time to provide the requested information.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partnering in my District/Division/Region is well advertised.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any additional comments you feel are appropriate to help us improve:

Please offer your ideas for improving the Caltrans Partnering Program overall. This may include suggestions regarding joint or individual training, guidance material, tools, awards and recognition, etc.

Optional:

Name: _____ Organization: _____ Phone: _____

Please enclose this survey with Partnering Award Application.

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2011

Project EA ____ - ____

Caltrans
Partnering Success in Motion Award
Application
 August 2010 version

<http://www.dot.ca.gov/hq/construc/partnering.html>



Background

The Caltrans Project Partnering Awards program includes an annual recognition of projects that best optimize the principles of partnering.

This “Partnering Success in Motion Award” recognizes on-going projects within each district, whereas the “Excellence in Partnering Award” recognizes completed partnered contracts statewide.

The main purpose is to celebrate success, share lessons learned of best practices, and honor all contract stakeholders. Additionally, the “Partnering Success in Motion Award” recognizes teams while they are still working together.

Eligibility

Partnered contracts still on-going and/or prior to the return of exceptions to the PFE as of September 30, 2010. A project may be nominated for an annual Partnering Success in Motion Award each year prior to contract completion.

Recognition Levels

I.	Nominee	(0 – 74 points)
II.	Bronze	(75 – 79 points)
III.	Silver	(80 – 89 points)
IV.	Gold	(90 – 100+ points)

Criteria

Caltrans Partnering Success in Motion Awards are judged by District construction personnel on both objective and subjective criteria.

Directions

1. Applications must be **TYPED** and completed fully. Fill out a separate application for each contract nominated.
2. **The text for all sections (I through VI) may have a combined total of no more than 2000 words.** The word count is to be filled in for each section as requested and the combined total supplied in the Total Word Count space. The “word count” feature in Microsoft Word (under the tools menu) may be used to count words. **Applications will be rejected if they exceed the 2,000-word count maximum.** It is preferable that your input text be in color, such as blue or red. The word count limit applies only to the text you have added and NOT the existing application form text.
3. A maximum of five additional supporting pages (8 1/2 inches by 11 inches, **one side only**) beyond the specifically requested items may be attached to the application. Supporting pages can include text, photographs, charts, graphs or appropriate tables to highlight results. More than **five** additional pages will **NOT** be accepted. Entries become the property of Caltrans Division of Construction, and will not be returned. (The Partnering Charter, Dispute Resolution Ladder, and any other specifically requested items within this application are not counted.)
4. An electronic version of this application is available for applicants; however, **nominations must be submitted in a hard copy (three copies per entry) on 8.5x11 paper with no separator tabs.** Applicants are encouraged to retain the computer files for future use.
5. A total of **three typed color copies** of each entry (application plus attachments) must be submitted directly to the Caltrans Deputy District Director of Construction Office in your area.
 - Mail via U.S. Mail postmarked on or before **October 15, 2010** or
 - Hand deliver to District Construction Office on or before **5:00 p.m. on October 15, 2010** (must be received and date stamped by District Construction Office).**No other form of delivery will be accepted (fax, internal mail, e-mail, etc.).**
6. All applications must be signed by the Resident Engineer of the nominated project and the prime contractor equivalent in the “Nomination Submitted by” portion.
7. In order to give all contract applications the same opportunity, applications that do not follow the above rules and format, or are received after the deadline, will not be considered for awards.

Note: The judges look carefully at the responses to questions. Direct, pointed answers to questions without rhetoric are desired. Supporting facts and documents are very helpful. Please do not leave out requested information as it affects the overall score. To help the judges give you maximum credit, please reference any related attachments in each response and label each attachment with the question(s)/section(s) it supports.

CONTRACT INFORMATION

Project Name:	
Project Description:	
Location:	
District-EA:	

Nomination Submitted By:

The undersigned nominate this project for consideration of the Caltrans Partnering Success in Motion Award.

Caltrans signature

Prime contractor signature

 <NAME>,
 Caltrans, Resident Engineer

 Date

 <NAME>
 <Organization and Title>

 Date

Caltrans:	Caltrans Project Partnering Lead on this project (Name and Title): Address: Office Phone Number: Cell Phone Number: Email Address: List other Caltrans Team Members involved in Project Partnering (Name and Title):
Prime Contractor:	Contractor Project Partnering Lead on this project (Name, Title, and Company): Address: Office Phone Number: Cell Phone Number: Email Address: List other Contractor Team Members involved in Project Partnering (Name and Title):
Other External Stakeholders:	List Subcontractor, Supplier, and/or any other Stakeholder Team Members involved in Project Partnering (Name, Title, Organization, Email Address and Phone Number):
District Contact Person:	Name and Title: Address (Use internal route tag identification, mail stations, etc.): Office Phone Number: Cell Phone Number: Email Address:
Alternate Contact:	Name and Title: Office Phone Number: Email Address:

I. CONTRACT DESCRIPTION**(3 Points)****Section I Word Count:** _____

A) Type of Work:

B) Size: *(approximate dollar value)*C) Brief description of job site: *(describe location and unique characteristics of contract site) – maximum of 75 words*

D) Partnering Initiation and Process:

- 1) Does your contract include the partnering standard specification that requires professionally facilitated partnering on all projects over \$10 million? ☐ Yes or ☐ No
- 2) Initial / Kick-off Workshop was: ☐ Self Facilitated or ☐ Professionally Facilitated
- 3) Was Partnering Skills Development Training held for the project team? ☐ Yes or ☐ No
If yes, what topics were covered? (1 to 4 allowed per spec.)

If yes, how many team members attended? _____

If yes, Instructor name and company: _____

- 4) Total number of Partnering Sessions held during contract: _____
- 5) Partnering Facilitator name and company, if applicable:

E) Expected Date of contract completion (acceptance of contract)

II. LIST ALL STAKEHOLDERS**(5 Points)**

(Identify entity and involvement or scope of work):

Section II Word Count: _____

III. WHY THIS CONTRACT?**(14 Points)**

Describe why the contract should receive a Caltrans Partnering Success in Motion Award. This may include challenges or obstacles overcome, awards, special efforts. Mention joint problem-solving examples or methods used. *(Answer in 300 words or less. Note that the national Marvin M. Black award application limits this section to 250 words.)*

Section III Word Count: _____

CONTRACT RESULTS

IV. OBJECTIVE CRITERIA

(46 Points)

Section IV Word Count: _____

Explain each item in no more than one or two short paragraphs.

- A) Was a Partnering Charter prepared? Include a signed copy. **(5 Points, 0 if Charter not attached)**
(Describe the process used to prepare the Charter.)

- B) How are the goals of the charter being evaluated and are they being realized? **(8 Points)**
(Describe the partnering evaluation process on this contract. Include sample copies of monthly partnering evaluation survey and results.)

- C) What is the safety record for all jobsite employers? **(8 Points)**
(Include loss time injury.)

- D) Is the contract at or under budget of contract allotment? **(5 Points)**
(Include owner approved CCOs.)

- E) Is the contract on or ahead of the approved schedule? **(5 Points)**
(Provide factual information, numbers.)

- F) Describe your issue resolution procedure and show evidence. **(5 Points, 0 if no evidence)**
(Cite examples.)

- G) Are potential claims being resolved? **(10 Points)**
(Provide brief descriptions, status, and dollar values of resolved and unresolved potential claims.)

V. SUBJECTIVE CRITERIA**(32 Points)****Section V Word Count:** _____**Explain each item in no more than one or two short paragraphs.**

- A) Describe how trade/craft foremen and workers are involved in the project partnering process. **(5 Points)**
- B) Describe how subcontractors are involved in the project partnering process? **(5 Points)**
- C) Describe project relations and on-going relationships with key stakeholders. **(4 Points)**
(Supply testimonial letters if possible.)
- D) Explain how the project partnering process is instrumental to the success of the project. **(5 Points)**
- E) Identify any innovative ideas that evolved through the project partnering process. **(6 Points)**
(Discuss cost savings, value engineering, improved productivity, quality, etc.)
- F) Discuss situations in which you attained quality beyond what was specified in the contract. **(4 Points)**
- G) List any teambuilding activities. Describe any unique motivational activities employed. **(3 Points)**

VI. BONUS POINTS**(Up to 4 Points maximum)****Section VI Word Count:** _____

- A) Explain any special adaptations or refinements that were actually made to improve the project partnering process to fit this particular contract. *(This may relate to the frequency and type of meetings; specific process implementation methods; how the facilitator, field staff, subcontractors, executives, and other stakeholders were involved; evaluation methods; techniques used to keep team members engaged, etc.)*
(2 Points)
- B) Offer your ideas for improving the acceptance and implementation of project partnering in general. *(What type of outreach, training, guidance material, awards, etc. would motivate and aid project team members?).*
(2 Points)
- C) What is the average participation level of your project's Monthly Partnering Evaluation Survey throughout the life of the project?
(This is the monthly average number of team members that completed the survey compared to the monthly average number of team members invited to take the survey. Show both numbers and the percentage. If your project partnering has been professionally-facilitated, then your partnering facilitator should be able to provide this info.) **(2 Points)**

Total Application Word Count: _____ (Sum of Sections I through VI)

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Align Goals		ORIGINAL IDEA NO. AG-2	VA ALTERNATIVE NO. 12.0
TITLE: Local Agency Involve Caltrans Planning and ICTC During Site Plan Review Phase		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>The Site Plan Review (SPR) is a process (in the City of El Centro) during which the developer presents a conceptual development or building plan to the City. The City provides general comments on possible requirements the developer may expect if he/she decides to move forward with the project. The Planning Director, at times, will send the SPR to Caltrans if the project involves state routes.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>At the City’s discretion, send the SPR to Caltrans and the Imperial County Transportation Commission (ICTC) for additional general comments.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Process will facilitate the exchange of information between the City, Caltrans Planning, ICTC, and the developer at an early phase of the project. This will help establish project and process expectations, and prevent the project from moving forward without knowledge of requirements that may have the potential to stop the project to correct issues not previously identified at an advanced stage of development.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Clear expectations from involved parties established at early phase of project ▪ Promotes early discussions for potential impacts and process requirements between developer and involved agencies 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ Site Plan Review turn-around times are generally 4 to 6 weeks; it is essential that all agencies work in concert to comment within the timeframe 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Local Agency Involve Caltrans Planning and ICTC During Site Plan Review Phase						ORIGINAL IDEA NO. AG-2		VA ALT. NO. 12.0		VA ALT. SHEET NO. 2	
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+M	Customer Satisfaction	+M	Decision-Making	+H	Scope Definition	+H	Impacts on Risks	+H	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Early coordination will identify risks and processes and facilitate the decision making process at an early stage. By doing so it permits a more precise scope to be identified, which may improve schedule and customer satisfaction.											
IMPLEMENTATION CONSIDERATIONS: Requires acceptance by Planning Director at City of El Centro. The proposed approach could also be adapted and implemented by other local agencies throughout the District.											
COST IMPACTS: Negligible											
VA TEAM RECOMMENDATION: The VA team recommends implementation of this VA alternative.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Align Goals		ORIGINAL IDEA NO. AG-3	VA ALTERNATIVE NO. 13.0
TITLE: Develop (Local Agency) Template Conditions (Similar to Caltrans Special Provisions) to Address Potential Caltrans Impacts		VA ALTERNATIVE SHEET NO. 1	

EXISTING PROCESS:

The local agency advises the developer of any potential need for the Caltrans encroachment permit process if the project appears it will affect state road facilities during the agency Site Plan Review (SPR). The SPR is a process (in the City of El Centro) where the developer presents a conceptual development or building plan. The City provides general comments on possible requirements the developer may expect if he/she decides to move forward with the project.

PROPOSED ALTERNATIVE PROCESS:

Develop Template Conditions at the SPR for all projects that may potentially impact Caltrans facilities.

Sample language is:

“Project may impact state road facilities and thus be subject to Caltrans review. Project may require Caltrans encroachment permit, Permit Engineering Evaluation Report (PEER) and/or a Highway Improvement Agreement (HIA) with Caltrans. Information on Caltrans procedures is available at http://www.dot.ca.gov/hq/tpp/offices/ocp/igr_ceqa.html.

City will require satisfactory written documentation of Caltrans acceptance (or no need therefor) of proposed state improvements and its construction schedule complying with City development requirements prior to issuance of building permit.”

CURRENT ISSUE THIS WILL ADDRESS:

Process will facilitate the exchange of information between City, Caltrans Planning, and the developer at an early phase of the project. This will help establish project and process expectations, and prevent the project from moving forward without knowledge of requirements that may have the potential to stop the project to correct issues not previously identified at an advanced stage of development.

BENEFITS:

- Clear expectations from involved parties established at early phase of project
- Promotes early discussions for potential impacts and process requirements between developer and agencies
- Helps to avoid surprises after local project approval

CHALLENGES:

- Creating a condition that potentially enables a third party to stop a project from obtaining a building permit may or may not be acceptable to management and elected officials

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Develop (Local Agency) Template Conditions (Similar to Caltrans Special Provisions) to Address Potential Caltrans Impacts						ORIGINAL IDEA NO. AG-3	VA ALT. NO. 13.0	VA ALT. SHEET NO. 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+M	Customer Satisfaction	+M	Decision-Making	+H	Scope Definition	+H	Impacts on Risks	+H	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Early coordination will identify risks and processes and facilitate the decision making process at an early stage. By doing so it permits a more precise scope to be identified and may improve schedule and customer satisfaction.											
IMPLEMENTATION CONSIDERATIONS: Requires acceptance by management personnel and may require approval by elected officials. Caltrans needs to define what constitutes acceptance (e.g., scoping agreement), and designate the authorizing official who should sign the written documentation.											
COST IMPACTS: Once template language is created, will not require additional costs to implement under existing processes. Cost savings may be applicable due to reduced claims from clearly defined expectations, may reduce construction duration by reducing the potential to identify project problems/issues at a later stage of the project. May result in additional time and resources by the state for responding to developer questions, however, long term will result in reduced “emergency” type responses or potential redesigns.											
VA TEAM RECOMMENDATION: The VA Team recommends implementation of this VA alternative. The City of El Centro expressed their intent to move ahead with this action immediately.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Develop Sensitivity (Importance) Rating System for Local Projects						ORIGINAL IDEA NO. DA-2	VA ALT. NO. 14.0	VA ALT. SHEET NO. 2			

PERFORMANCE IMPROVEMENT

Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:

Schedule	M	Customer Satisfaction	H	Decision-Making	M	Scope Definition	H+	Impacts on Risks	H	Context Sensitivity	H+
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	

+H, +M or +L (high, medium or low benefit)
-H, -M or -L (high, medium or low degradation)

Elaborate on the noted performance impacts:

The concept improves the communication process early in project’s development by informing Caltrans of general sensitivity of a local project. Caltrans can then work towards asking questions and setting expectations regarding the agency’s goals.

IMPLEMENTATION CONSIDERATIONS:

The implementation is relatively simple since the format and form would come from the local agency. No formal agreements are necessary.

In order for the sensitivity rating system to be effective it cannot be abused by the local agencies where every project rates as being important. It should be used with discretion in mind.

Caltrans will include this sensitivity rating into their quarterly status meetings (reference VA Alternative 6.0).

COST IMPACTS:

No cost impacts. Overall ROI may improve if sensitive projects are recognized early in the process and handled as such. Expectations can be realized earlier in the process as well and can help in the decision making during project development.

VA TEAM RECOMMENDATION:

The VA Team recommends implementation of this VA alternative.

City of _____

VA Alternative 14.0

Project Assessment and Sensitivity Rating

Assessment Date: _____

Project Name: _____

Project Location: _____

Land Use Category(ies):

<input type="checkbox"/>
<input type="checkbox"/>

Commercial

Residential

<input type="checkbox"/>
<input type="checkbox"/>

Industrial

Public

Potential Project Stakeholders – Temporary or Permanent Impacts to Public and/or Private entities:

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

Utilities – Water (IID)

Utilities – Power (IID)

Utilities – Communications

Rail Road

Adjoining Cities/Counties

Large Recreational Venues

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

State Highways (Caltrans)

Public Safety Responders (Police/Fire)

Hospitals & Medical Centers

Schools/Universities

Environmental/Cultural Resources

Large Business Complexes

Other: _____

Are Caltrans roadway improvements anticipated for this project?

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

YES

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

NO

If yes, are roadway improvements anticipated to exceed \$3 million?

YES

NO

Are approvals required from governing boards and commission external to the City?

YES

NO

Does this project support the City's strategic goals and general plans?

YES

NO

Are public funds involved in this project?

YES

NO

Will this project create new employment for the region?

YES

NO

If yes, please select the numeric range of anticipated full-time new jobs that will be created:

<input type="checkbox"/>

1-10

<input type="checkbox"/>

11-25

<input type="checkbox"/>

26-50

<input type="checkbox"/>

51-100

<input type="checkbox"/>

Over 100

Anticipated level of City Council involvement:

<input type="checkbox"/>

High

<input type="checkbox"/>

Medium

<input type="checkbox"/>

Low

Complexity/Sensitivity Rating:

<input type="checkbox"/>

High

<input type="checkbox"/>

Medium

<input type="checkbox"/>

Low

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VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						<h1 style="margin: 0;">Caltrans</h1>					
TITLE: Promote Partnering During Construction Phase for all Local Projects over \$3 million						ORIGINAL IDEA NO. AG-1		VA ALT. NO. 15.0		VA ALT. SHEET NO. 2	
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+H	Customer Satisfaction	+H	Decision-Making	+H	Scope Definition	+H	Impacts on Risks	+M	Context Sensitivity	+L
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Formal partnering requires communication with all parties on the project. This in turn creates awareness, promotes respect, and builds trust among the different agencies and the contractor. With this atmosphere in the work environment all parties are more apt to offer solutions and foster collaboration.											
IMPLEMENTATION CONSIDERATIONS: The guidance for when formal partnering is required on Caltrans projects is defined in the “Field Guide to Partnering on Caltrans Construction Projects.” The coop agreement will need to stipulate how the partnering will be funded. Projects within this new range (\$3-\$10 million) would need to have the specifications for formal partnering included in the PS&E package. For the long term, if it is seen as a benefit to modify this limit statewide, the Field Guide would need to be updated for this change.											
COST IMPACTS: The costs to the local agency would include funding the facilitator, kick-off meeting, and development of the charter, communication plan and dispute resolution plan. Caltrans will need to allocate PY resources for this process. However, it is anticipated that a return on the investment will result from improved construction with fewer claims and adverse impacts to the project schedule. Partnering should reduce rework in construction.											
VA TEAM RECOMMENDATION: The VA Team recommends language be inserted into the standard coop agreement to describe the suggested option to implement partnering during the construction phase.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Align Goals		ORIGINAL IDEA NO. AG-9	VA ALTERNATIVE NO. 16.0
TITLE: Develop Oversight Manual for Project Development Phase		VA ALTERNATIVE SHEET NO. 1	
<p>EXISTING PROCESS:</p> <p>Currently, there is direction and guidance from various sources. This information is incomplete and hard to find because it is produced by various Caltrans Divisions. There is no existing Manual for Project Development of Oversight projects funded by local agencies.</p> <p>Division of Construction has issued guidance, the “Oversight Engineer Field Guidelines,” that cover roles and responsibilities once an oversight project enters the construction phase.</p> <p>PROPOSED ALTERNATIVE PROCESS:</p> <p>Develop an Oversight Manual for Project Development of locally funded projects. This would take the project from completion of the IGR-CEQA process to approval of the encroachment permit for construction. Projects would be divided into one of three categories: 1) Less than \$1 million, 2) greater than \$1 million and less than \$3 million, and 3) greater than \$3 million. The manual would defer to other existing guidance, such as the PDPM and HDM, but would do several things:</p> <ol style="list-style-type: none"> 1) Clarify roles and responsibilities 2) Recommend developing a project charter 3) Recommend developing a communication plan 4) Recommend developing a dispute resolution plan 5) Recommend developing a risk management plan 6) Discuss the various project submittals required and Caltrans review timeframe for each 7) Develop a workplan and budget 8) Discuss design exception process 9) Provide partnering as an option (unless deemed mandatory), and 10) Discuss need for Cooperative Agreements or Highway Improvement Agreements. <p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>Existing guidance is in various policy memoranda and other documents. It is difficult for local agencies and their consultants to understand the current Caltrans oversight process. This can lead to frustration and possible delays in the project schedule and increased cost.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Less rework of plans ▪ Keeps project schedule on time ▪ Keeps project cost in budget ▪ Resolves issues early ▪ Improves relations between Caltrans and the local agency </div> <div style="width: 48%;"> <p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ District and/or HQ will need to devote resources to manual preparation ▪ Difficult to get all Districts and HQ to agree on content of manual ▪ Culture change to implement new policy </div> </div>			

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Develop Oversight Manual for Project Development Phase						<small>ORIGINAL IDEA NO.</small> AG-9	<small>VA ALT. NO.</small> 16.0	<small>VA ALT. SHEET NO.</small> 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+H	Customer Satisfaction	+H	Decision- Making	+H	Scope Definition	+M	Impacts on Risks	+H	Context Sensitivity	+M
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: The Oversight Manual will help the Local Agency/ consultant to understand Caltrans' requirements. This will lead to an improved project development process. Completing the project on time and within budget will be much more likely if issues are resolved promptly. This in turn will lead to higher customer satisfaction. It will also provide processes to document risks and decisions made. Project scope definition, risk management and recognizing the importance of context sensitivity will also be improved because all parties will understand the project and have similar expectations.											
IMPLEMENTATION CONSIDERATIONS: A HQ Policy Memorandum is required to implement this. Caltrans management will need to allocate resources for manual preparation. HQ, local agencies, consultants and various Districts should be included in developing this Oversight Manual.											
COST IMPACTS: Although most of the guidance already exists in various sources, the resources needed to develop this manual could be significant. It could also take considerable effort to reach consensus with all of the Districts and HQ. However, it is anticipated that there will be significant savings to both Caltrans and the local agencies with improved quality of plans and meeting the project schedule.											
VA TEAM RECOMMENDATION: The VA team recommends this proposal be implemented and, recognizing it should originate from Headquarters, suggests that D-11 executive management approach HQ with this concept.											

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Foster Collaboration		ORIGINAL IDEA NO. FC-4	VA ALTERNATIVE NO. 17.0
TITLE: Begin Formal Partnering at Beginning of Caltrans Oversight Process		VA ALTERNATIVE SHEET NO. 1	
EXISTING PROCESS: After the IGR-CEQA process, an oversight project over \$1 million but less than \$3 million is assigned to a Traffic Operations Senior to do oversight. If the oversight project is over \$3 million then an Oversight Design Engineer (ODE) is assigned. The ODE (or the Traffic Operations Senior) typically also acts as the Caltrans PM (C-PM) but not always. The local agency usually has a consultant team already established. The local agency PM (LA-PM) and the C-PM work together to develop the project. This includes scheduling meetings, performing reviews, coordinating responses and resolving project issues. The C-PM (and their Project Engineer) eventually approve the project and an Encroachment Permit is issued. During construction, partnering is not required because Caltrans is not administering the contract. However, the roles and responsibilities are clearly defined in the “Oversight Engineer Field Guidelines” produced by the Division of Construction in 2004.			
PROPOSED ALTERNATIVE PROCESS: At the end of the IGR-CEQA process, initiate a formal partnering process between the local agency and their consultants and Caltrans. This partnering process would start at the very beginning of the project development process and continue through construction. Partnering would include: Developing a Charter, setting mutual goals, identifying key project risks, developing a Dispute Resolution Plan, developing a Communication Plan, defining roles of key personnel, monitoring, and follow-up.			
CURRENT ISSUE THIS WILL ADDRESS: Because these oversight projects are funded by others there is a perception that these are not Caltrans projects. Consequently, the C-PM and the ODE may not devote the same effort as if this was a Caltrans project. Another issue is that the local agency’s consultant will often work directly with Caltrans. If the consultant does not keep the local agency involved in key issues, the local agency can sometimes be surprised with issues at the last minute. Sometimes these issues can be politically sensitive and get elevated to higher levels without proper documentation.			
BENEFITS: <ul style="list-style-type: none">▪ Keeps project schedule on time▪ Keeps project cost in budget▪ Resolves issues early▪ Improves relations between Caltrans and the local agency		CHALLENGES: <ul style="list-style-type: none">▪ Local agency will need to fund 100% of partnering (based on current policy)▪ Caltrans will need to allocate PY resources to partnering prior to Cooperative Agreement or HIA.▪ Culture change to implement new policy	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						<h1 style="margin: 0;">Caltrans</h1>					
TITLE: Begin Formal Partnering at Beginning of Caltrans Oversight Process						ORIGINAL IDEA NO. FC-4	VA ALT. NO. 17.0	VA ALT. SHEET NO. 2			

PERFORMANCE IMPROVEMENT

Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:

Schedule	+H	Customer Satisfaction	+H	Decision-Making	+H	Scope Definition	+M	Impacts on Risks	+M	Context Sensitivity	+M
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	

+H, +M or +L (high, medium or low benefit)
-H, -M or -L (high, medium or low degradation)

Elaborate on the noted performance impacts:

Completing the project on time and within budget will be much more likely if issues are resolved promptly. This in turn will lead to higher customer satisfaction. It will also document the tough decisions.

Project scope, risk management and context sensitivity will also be improved because all parties will understand the project and have similar expectations.

IMPLEMENTATION CONSIDERATIONS:

A District Policy Memorandum is required to implement this. In order to allocate Caltrans resources, HQ approval may be required.

Recommend the construction guidance “Oversight Engineer Field Guidelines” be modified by HQ to incorporate the partnering process.

Based on current Caltrans policy, local agencies will need to fund the partnering process and will need to help develop this policy.

COST IMPACTS:

The up-front costs to the local agency could be moderate as it will fund the facilitator, kick-off meeting, and development of the charter, communication plan and dispute resolution plan and Caltrans resources.

However, it is anticipated that there will be savings with improved quality of plans and meeting the project schedule. Partnering should reduce rework in design and construction.

VA TEAM RECOMMENDATION:

The VA team recommends this VA alternative be implemented.

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Foster Collaboration		ORIGINAL IDEA NO. FC-1	VA ALTERNATIVE NO. 18.0
TITLE: Caltrans Host an Annual Networking Event for Locals to Present Project Exhibits for D-11 Cross-Functional Feedback		VA ALTERNATIVE SHEET NO. 1	
PROCESS SUGGESTION			
<p>EXISTING PROCESS:</p> <p>The only networking events that are currently conducted are recent team-building meetings with limited Caltrans staff. There are also quarterly meetings coordinated by the four Districts south of Tehachapi. The south Tehachapi meetings rotate between Districts 7, 8, 11 and 12. All of these meetings serve to discuss high level issues (not project specific), such as new regulations, policies, technology trends, etc.</p>			
<p>PROPOSED ALTERNATIVE PROCESS:</p> <p>Host an annual Local Project Networking Fair in the Garcia Conference Room. Attendance of D-11 project development PDT members would be mandatory. The local agency participants (and their project consultants/contractors) would be provided a table to display project exhibits and plans. The meeting could last from 10:00 AM to 2:00 PM with refreshments provided by a modest fee collected from the voluntary local agency participants. The District Director and Regional MPO/RTA would kick-off the networking event with welcoming addresses. D-11 functional experts would visit each table (or those tables that are geographically assigned to them) to learn about the project and offer feedback on potential opportunities and constraints.</p>			
<p>CURRENT ISSUE THIS WILL ADDRESS:</p> <p>The lack of “face time” between District 11 staff and local project development staff. This is particularly true of local agencies outside of the metropolitan San Diego area. This would greatly elevate the importance of local projects.</p>			
<p>BENEFITS:</p> <ul style="list-style-type: none"> ▪ Saves time/money by consolidating many project reviews in one day ▪ Relatively inexpensive to host (especially if the locals contribute for coffee, sodas, and light refreshments) ▪ Heightened staff awareness of local projects 		<p>CHALLENGES:</p> <ul style="list-style-type: none"> ▪ Timing of networking event might not align with a local project’s need for attention ▪ Requires D-11 and local agency executive management consensus/support ▪ May not be enough projects to warrant the event 	

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans		
TITLE:	Caltrans Host an Annual Networking Event for Locals to Present Project Exhibits for D-11 Cross-Functional Feedback	ORIGINAL IDEA NO.	VA ALT. NO.	VA ALT. SHEET NO.
		FC-1	18.0	2
IMPLEMENTATION CONSIDERATIONS: Implementation actions: Assign an event coordinator, develop an invitation list (for on-system and off-system local projects within D-11), select a date conducive to executive management/key sponsor schedule, develop/distribute invites, collect participation contributions (refreshment sponsorship) and purchase (or have cafeteria cater) refreshments, set up tables, provide easels, etc. Include D-11 geometrician(s) and Structures Design for functional reviews.				
COST IMPACTS: Approximately 40 hours of staff work to prepare for the event and staff time (3 hours X 30 functional experts). The return on investment could be very high when travel time and early problem identification/resolution is considered.				
VA TEAM RECOMMENDATION: The VA team recommends this idea be further explored to develop details of how it would be implemented; perhaps consider integrating the concept with another already existing event.				

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>		Caltrans	
FUNCTION: Define Accountability Foster Collaboration		ORIGINAL IDEA NO. FC-2	VA ALTERNATIVE NO. 19.0
TITLE: Training for Local Partners and D-11 Staff		VA ALTERNATIVE SHEET NO. 1	

EXISTING PROCESS:

Currently, Local Assistance provides training opportunities for our local partners.

<http://www.dot.ca.gov/hq/LocalPrograms/training/training.html>)

Training for Local Agencies

A number of [links to useful sites](#) and other [references](#) are provided below.

Please contact your [District Training Coordinator](#) (DTC) for information on availability of Local Assistance classes.

Most classes are given "by request." Let your DTC know you're interested so we can meet your needs!

Enhanced Training Courses	
1	Accounting/Invoicing Description
2	Audits (Pre award and Indirect Costs) Description
3	Caltrans Right of Way Academy Description
4	Completing the New HBRR Application Description
5	Construction Contract Administration- refresher Description
6	Consultant Evaluation Workshop Description
7	Consultant Selection Description
8	Context Sensitive Solutions Description

PROPOSED ALTERNATIVE PROCESS:

Increase awareness of CT training opportunities to local partners.

AND

For local agencies: develop new training tailored to regional needs/interests for agency staff and/or elected officials. This could be a hands-on course or an interactive internet training designed to increase the locals' awareness of typical Caltrans issues/performance requirements.

AND

For Caltrans staff: develop a Customer Service course to highlight the internal and external supplier – customer relationships based on actual cross-functional/cross-agency scenarios.

CURRENT ISSUE THIS WILL ADDRESS:

Help to explain Caltrans design standards and requirements, for example, why and how signal warrants, speed limits, etc. are developed and implemented, and how they relate to promoting a safer and efficient travel/work environment.

Customer service training may reduce the “us versus them” mentality and will stress that land use development/local projects are vital to the Imperial County and San Diego region’s prosperity and we need to work together to find the best balance to also preserve the operational integrity of Caltrans’ infrastructure investment.

BENEFITS:

- Increases Caltrans’ staff awareness of local projects oversight processes and how the local agencies represent our customer
- Increases local partners’ awareness of some of the “hows” and “whys” of Caltrans standards and policies

CHALLENGES:

- Time involved to develop course work and trainers
- Time for staff to attend training
- Lack of in-house expertise to develop interactive web-based course

VALUE ANALYSIS ALTERNATIVE <i>District 11, Oversight Process Improvement for Local Projects on SHS</i>						Caltrans					
TITLE: Training for Local Partners and D-11 Staff						ORIGINAL IDEA NO. FC-2	VA ALT. NO. 19.0	VA ALT. SHEET NO. 2			
PERFORMANCE IMPROVEMENT Using the rating system shown below, indicate how this alternative affects the overall process relative to the following criteria:											
Schedule	+L	Customer Satisfaction	+H	Decision- Making	+L	Scope Definition	+M	Impacts on Risks	+M	Context Sensitivity	+M
<i>Keeping the project on time</i>		<i>Did we meet our goals?</i>		<i>Ability to make clear, defensible decisions</i>		<i>Clarity of scope, and expectations of all parties</i>		<i>Ability to identify, prevent, or mitigate risks</i>		<i>Ability to address desired/required context sensitivity</i>	
+H, +M or +L (high, medium or low benefit)						-H, -M or -L (high, medium or low degradation)					
Elaborate on the noted performance impacts: Training, especially job-related, specific training is accepted as being beneficial towards advancing Department goals and values. Emphasizing the why behind our requests/design standards and the why of local development can help foster mutual respect.											
IMPLEMENTATION CONSIDERATIONS: Implementation actions: <ul style="list-style-type: none"> ▪ Perform a skills need assessment for local agencies; consider a survey to determine what kinds of courses in which they'd have interest; determine how interests align with already existing training via local assistance ▪ Assign a D-11 staff person to develop a course or web course ▪ Demo the training to "focus groups" (from locals and CT staff) and obtain feedback to evaluate course materials and effectiveness ▪ Obtain outreach list from Local Assistance and IGR/CEQA branches ▪ Hire a consultant to develop the online course 											
COST IMPACTS: Per course: <ul style="list-style-type: none"> ▪ Develop (one person = 80 hours) ▪ Conduct (8 to 16 hours X __ participants) Consultant cost for internet course development.											
VA TEAM RECOMMENDATION: The VA team recommends this VA alternative be implemented.											

PROCESS ANALYSIS

SUMMARY OF ANALYSIS

The Value Analysis (VA) process uses a variety of methods to gather and organize information. For this VA study, the following were employed:

- Surveys and interviews to document lessons learned
- VA Study Goals and Objectives
- Function Analysis / FAST Diagrams
- Performance/Evaluation Criteria

The processes used are described in detail in the following pages.

PROCESS ISSUES

As a result of information obtained via pre-study web-based surveys and telephone interviews, the VA team identified a number of potential problem areas. These issues were taken into consideration throughout the VA study, as the team evaluated ideas and developed VA Alternatives.

PRE-STUDY INTERVIEW QUESTIONS AND SUMMARY OF ANSWERS

The first three questions addressed type of organization represented, respondent's role in the project, and respondent's functional expertise. To protect the anonymity of respondents this information is omitted from the summary. The answers provided are written as stated by respondents. Issues identified are highlighted in yellow.

The final question asked – What would you recommend be done differently in the future? – triggered a number of the ideas that were eventually developed into VA alternatives.

Question	Disagree	Agree
4. Following project elements were adequately addressed:		
▪ Scope	44.4%	44.4%
▪ Schedule	66.6%	22.2%
▪ Cost	44.4%	44.4%
5. Changes to project elements were effectively managed:		
▪ Scope	55.5%	33.3%
▪ Schedule	66.7%	22.2%
▪ Cost	33.3%	55.5%
6. Project development expectations were clearly communicated for the following:		
▪ Programming/Funding	22.2%	55.5%
▪ Project Milestone Approvals	44.4%	22.2%
▪ Engineering Reviews & Studies	66.6%	22.2%
▪ Environmental Reviews & Studies	11.1%	66.7%
▪ Traffic Reviews & Studies	66.7%	22.2%
▪ Design Requirements/Exceptions	55.5%	33.3%
▪ Right of Way and/or Encroachment Permits	11.1%	66.6%
▪ Constructability/Maintainability Reviews	33.3%	44.4%
▪ Construction Partnering	44.4%	22.2%
▪ Construction Inspections	33.3%	33.3%
▪ Quality Assurance/Control	33.3%	33.3%
▪ Project Management (work plans, communication plans, risk management, etc.)	44.4%	22.2%
7. Expectations for accuracy and completeness were met for the following project deliverables:		
▪ Environmental Studies & Reports	0%	75%
▪ Geotechnical Studies	0%	55.5%
▪ Hydraulic Studies	0%	55.5%
▪ Traffic Studies	44.4%	44.4%
▪ Utility Studies	44.4%	22.2%

Question	Disagree	Agree
▪ Item Specifications	33.3%	22.2%
▪ Item Estimates	25.0%	25.0%
▪ Design Plans	44.4%	33.3%
▪ Material Testing	0%	55.6%
8. Adequate time was provided to effectively perform the following tasks:		
▪ Data Collection & Analysis	11.1%	44.4%
▪ Field Reviews	0%	55.6%
▪ Study/Report Development	0%	44.4%
▪ Study/Report Reviews	0%	56.6%
▪ Plan Development	0%	44.4%
▪ Plan Reviews	11.1%	33.3%
▪ Cost Estimating	11.1%	33.3%
▪ Project Development Team Meetings	22.2%	33.3%
▪ Construction Partnering Meetings	22.2%	44.4%
▪ Construction Inspections	22.2%	33.3%
▪ Quality Assurance/Control	25.0%	25.0%
9. Comments on above:		
<ul style="list-style-type: none"> ▪ Review of data was always done by management crisis. The City, CM or Contractor was behind schedule. ▪ From what I recall there were a number of issues that were not vetted out until reaching a critical point, particularly regarding Caltrans standards for the design of the intersections and assumptions on both sides without trying to reach agreement. ▪ City was conditioned to complete improvements, as per enviro doc for IGR proj. City modified scope, did not complete improvements prior to occupancy, and let schedule slip. ▪ Inspections & QA seemed to be independent of the approved plans 		
10. Documented agreements, guidance and correspondence were adequate to effectively accomplish project tasks.	44.4%	55.6%
11. Did unforeseen events occur that adversely impacted the project?	44.4% No/Not Sure	55.5% Yes
12. Comments on #11:		
<ul style="list-style-type: none"> ▪ There were conflicts with gas lines and IID facilities which required redesign of facilities ▪ From the local perspective, there were unforeseen design and environmental requirements from Caltrans. From Caltrans standpoint the schedule and funding were very fluid making it difficult to keep moving on the project. ▪ Extended review time for k-rail changes 		
13. What do you think went well with this project?		
<ul style="list-style-type: none"> ▪ It eventually got done with compromises from both sides at least on the design side ▪ Got fully funded ▪ A good communication between the Design and Construction Branch (Caltrans), helped to solve the project issues ▪ The finished product ▪ District management came to Imperial County after hearing so many complaints and things got better ▪ City was very supportive ▪ End result was an improvement of high quality for the State – brings additional value to State’s highway system, and City’s transportation network ▪ Despite disagreements everyone still found a way to pull the final project together and complete it in the end 		

Question	Disagree	Agree
<p>14. What do you think didn't go well with this project?</p> <ul style="list-style-type: none"> ▪ The CM firm hired by the City was unfamiliar with the State requirements of [sic] specified under the oversight manual. There was no one person who was in responsible charge. The CM waited on the decisions of the City, State, or Designer and the Contractor waited on everyone, which caused delays in the project. There was not a full time RE on the project which also contributed to the delays in decision making. This was brought to the City's attention and the State was assured that the on site person would be able to handle, but this was not the case. ▪ Communication at all levels, particularly a lack of ownership at Caltrans ▪ Schedule is very aggressive ▪ It was necessary to complete the design project/ plans/specifications, because of lack or incorrect information on the Special Provisions of the project and project plans. Traffic control plans, traffic charts, imported borrow specifications, class 4 sub-base, electrical plans, utility plans, SWPPP plans, retaining walls plans, had to be revised and/or completed. This caused delays in the construction process. In addition the construction of the project was performed by inspectors with lack of experience in Caltrans-type projects. ▪ The plans and inspections ▪ Plans interpreted too strictly; not even minor deviations were permitted ▪ When CT personnel changed, plan interpretations seemed to change too ▪ Shawn wasn't involved enough; Vicente seemed to not have the necessary experience to be able to make decisions ▪ Many Caltrans personnel changes ▪ Standards/policies constantly changing – living documents ▪ Caltrans field guy had different interpretations than design reviewers ▪ Double inspection process ▪ Politically sensitive nature of project not fully understand by D11 early enough ▪ Design process too long; all meetings took place in San Diego (precluded viewing existing conditions) ▪ No sense of urgency given on Caltrans' end ▪ No leeway for City's CM to make independent interpretations of specs and standards, even on minor issues ▪ Disagreements over levels of risk and safety increased time and costs ▪ Inconsistency in application of what's acceptable – City and consultants would propose solutions they've experienced in other Districts but they would not be allowed here (e.g., not being able to use roadway after grinding/before paving; had to shut down whole interchange, creating delays – this has been allowed in other Districts, e.g., Santa Barbara, why not here?) ▪ City paid for project but had no control over decisions – seemed to be exploited with no real concern on the Caltrans end ▪ Caltrans doubles up effort – had an RE (Vicente) at every meeting and inspection; they didn't seem to trust us or the City; we (the CM) sometimes felt unneeded ▪ Long time for re-dos and approvals ▪ Contractor worked for City, Dudek (CM) was in charge, but contractor wouldn't do anything without Caltrans approval ▪ Unclear who gives final direction ▪ 		
15. The completed project was successful in meeting Caltrans' safety goal for:		
▪ Motorists	0%	88.9%
▪ Non-motorists	0%	77.8%
▪ Construction Workers	0%	55.6%

Question	Disagree	Agree
▪ Maintenance Workers	0%	66.7%
16. The completed project was successful in meeting Caltrans' mobility goal for:		
▪ Reducing travel times	11.1%	77.8%
▪ Increasing accessibility	0%	77.8%
17. The completed project was successful in meeting Caltrans' delivery goal for:		
▪ Planning – Concept Development	22.2%	33.3%
▪ Project Approval – Environmental Permit	11.1%	22.2%
▪ Project Design	33.3%	11.1%
▪ Project Construction	44.4%	22.2%
18. The completed project was successful in meeting Caltrans' stewardship goal for:		
▪ Natural Resources	11.1%	33.3%
▪ Cultural/Community Resources	0%	44.4%
▪ Property, Equipment Assets & Infrastructure	0%	55.6%
▪ Fiscal Resources	22.2%	44.4%
19. The completed project was successful in meeting Caltrans' service goal for:		
▪ Internal Caltrans working relationships	22.2%	44.4%
▪ External working relationships with project partners	55.5%	11.1%
▪ External project customers/stakeholders	55.5%	11.1%
20. Please provide comments on how Caltrans District 11 can improve the content and clarity of this survey to better capture lessons learned in order to improve future projects.		
▪ The City should have honored their commitment to have a full time RE on the project and not have someone who was only here for meetings once a week. Additionally, the CM firm should have been familiar with CT procedures, even when we referred them to the oversight manual they did not read the manual to determine their responsibilities. The State was required to provide a full time RE and inspector to make sure the project was constructed in accordance with State policy and procedure. The decision making was cumbersome and awkward. CCOs took a long time for approval and design changes due to changes in field conditions took months to be redesigned and approved by the City. The State facilitated approval at every opportunity and brought potential problems to the attention of the City and their CM prior to the issue becoming critical, however decisions were not prompt causing delays.		

What might be done differently in the future?

- Do not assume local agencies and/or their consultants are familiar with Caltrans processes, policies, and procedures
- Caltrans should take the time to review plans thoroughly and completely before the job goes to bid
- Conduct partnering up front – define each party's expectations, and what each party needs/requires to make that happen
- Caltrans Design Manager should make sure plans are 60% to 70% complete for first review by review group
- City might want to think about long-term contracts in lieu of a new/different consultant on each project
- Hire Caltrans to do the plans if a permit is required
- Hire CM firm familiar with Caltrans policies and procedures; should have experience with similar projects to be eligible for contract
- Make sure RE is on site at all times
- Have Caltrans do design and CM for the City

- Once a project design is approved, new personnel should not be permitted to reinterpret and require changes
- We need help from Caltrans – getting Caltrans knowledge injected into our process (we got no suggestions from Caltrans on how/what we needed to do) – need more of a partnering attitude
- Caltrans should encourage decisions be made on a lower level and fostering that
- Formalize, within Caltrans, documentation process for oversight projects from start to finish
- Caltrans should not hide behind the word “safety” when a compromise is possible without reducing safety margin
- Clearly communicate why the answer is “no”, i.e., tell the designer/local agency what needs to change
- Share corporate knowledge (either from Caltrans or the local agency) based on past project experiences/lessons learned
- Improve Coop Agreements to include better definition of roles and responsibilities
- Develop MOUs to document goals and intentions
- Implement formal partnering beginning with design oversight process – HQ already working on this on construction side
- Give presentation on partnering to locals at some of their regular meetings (Ken Solak – HQ – the person who knows the CT partnering process intimately; Sue Dye, consultant)
- Smooth out transition from design lead to construction lead
- Planning hands off to design hands off to construction hands off to maintenance (project management, though it’s supposed to be cradle to grave, is pretty hands off when the project goes to construction)
- Put a stop to the Construction “fiefdom”
- Every division deputy director will have to buy off on proposed changes to effect a corporate culture change
- If a change occurs as a result of something that was missed during planning or design, provide resources for field personnel to get change(s) implemented expeditiously
- Offer training to the local agencies to explain the Caltrans oversight/partnering processes
- Consider changing out the staff in some areas to avoid relationships becoming overly casual and/or stale (e.g., maybe a different person to wrap up/finalize a project comes in to take over from Shawn)

VA STUDY GOALS AND OBJECTIVES

Caltrans District 11 sponsored this VA study in response to lessons learned from the I-8/Dogwood signalization and interchange improvements project in Imperial County. Although the District partnered with the City of El Centro and the County of Imperial to perform the study, District Management intends to use process improvements, as applicable, to oversight projects throughout the District.

The VA team was charged with the following goals and objectives:

- Improve the partnering/oversight process for local projects subject to Caltrans permits;
- Clarify roles and responsibilities;
- Streamline the conflict resolution process; and
- Develop/refine guidance and training.

FUNCTION ANALYSIS / FAST DIAGRAM

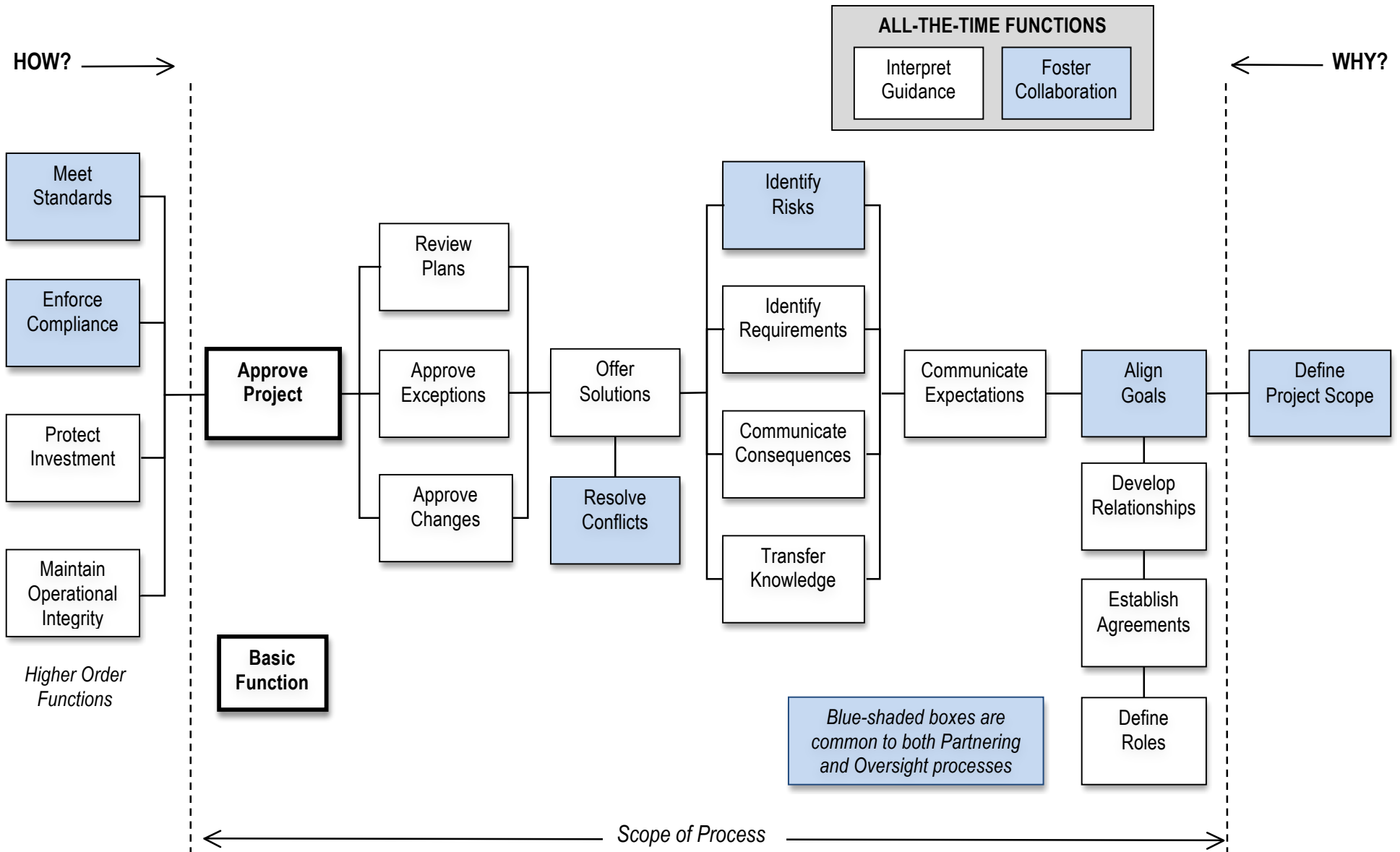
Function definition and analysis is the heart of Value Analysis. It is the primary activity that separates VA from all other “improvement” programs. The objective of this phase, especially in a process study, is to ensure the entire team agrees upon the purposes for which the process activities occur. Further, this phase assists with development of the most beneficial areas for continuing study.

The VA team identified the functions of both the oversight process and the partnering process. As the functions were discussed, the team built function models, or Function Analysis System Technique (FAST) diagrams, for both processes. Functions common to both diagrams were identified with shaded boxes.

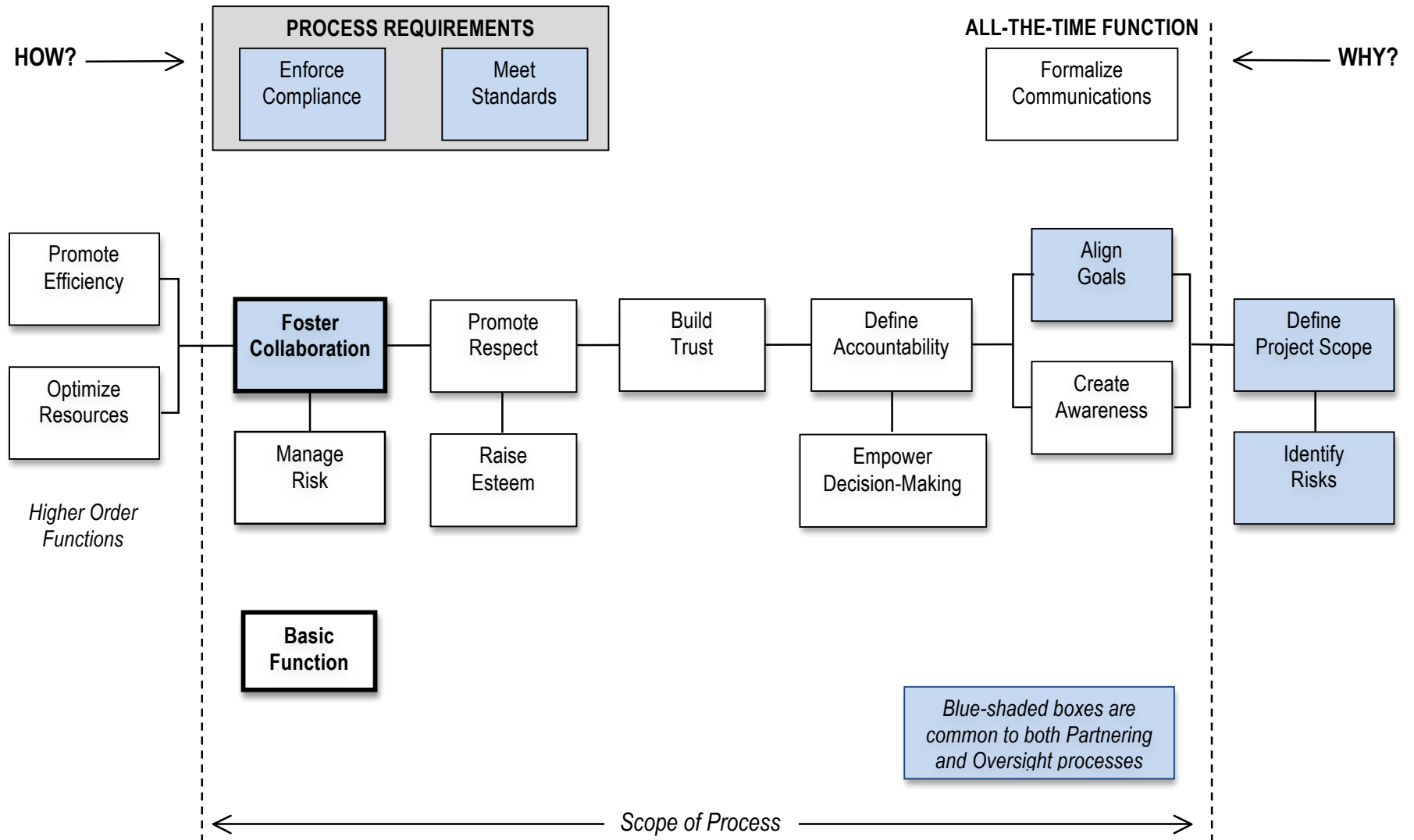
The FAST diagrams represent the functional relationships for the processes, providing a common understanding of the total processes and how the issues and function requirements are related. The FAST diagrams arrange the functions in logical order so that the functions answer the question “How?” when read from left to right, and “Why?” when read from right to left. Functions connected with a vertical line (a “When?” relationship) are those that happen at the same time as, or are caused by, the function at the top of the column. Some functions, shown detached and above the FAST diagram, may be process requirements or all-the-time functions.

The FAST diagrams on the following pages show *Approve Project* as the basic function of the Oversight process and *Foster Collaboration* (and, at the same time, *Manage Risk*) as the basic function of Partnering. Considering that *Foster Collaboration* appears as an all-the-time function on the Oversight process diagram, it could be implied that implementing Partnering would strongly support the success of Oversight process activities. Some of the functions shared between the two processes include *Align Goals*, *Identify Risks*, and *Resolve Conflicts*. The FAST diagrams illustrate that the processes are closely related in terms of overlapping functions and achievement of ultimate Department goals.

FAST Diagram – Oversight Process



FAST Diagram – Partnering Process



PERFORMANCE CRITERIA

Based on the issues previously defined and considering the overlapping functions between the Oversight and Partnering processes, creative ideas were evaluated using a combination of performance factors and functions. The VA team and study sponsors identified the following factors for use in evaluation:

- Schedule – *Does the concept help keep the project on time? Or will it create delays?*
- Customer Satisfaction – *Will the concept help Caltrans and our partners meet our goals?*
- Decision-Making – *Does the concept facilitate clear, defensible decision-making processes?*
- Scope Definition – *Does the concept help to define clarity of project scope and expectations?*
- Impacts on Risk – *Will the concept help identify and/or avoid risks?*
- Impacts on Context Sensitivity – *Will the concept help Caltrans be more aware of the local partners' interests relative to context sensitivity?*

CREATIVE IDEAS AND EVALUATION

The VA team brainstormed alternative concepts to improve the oversight process based on certain key functions from the FAST diagrams:

- Align Goals (AG)
- Foster Collaboration (FC)
- Define Accountability (DA)
- Offer Solutions (OS)

The ideas are grouped alphanumerically (corresponding to the listed functions) in the idea list.

To evaluate the ideas, the VA team considered whether the process was being improved (↑) or degraded (↓) relative to each of the performance factors; secondly, the team identified which of the key functions the creative idea was supporting by placing an X in the appropriate box. An overall rating, shown below, was assigned based on the combined impacts of performance factors, functionality, and potential costs.

Rating Scale

- 5 = Significant Improvement
- 4 = Some Improvement
- 3 = Minor Improvement
- 2 = Some Degradation
- 1 = Significant Degradation

Ideas ranked a 5 or a 4 would be developed further; low-ranked ones would be dropped from further consideration. Other designations included:

- PS Process Suggestion – The concept will be described in the VA Report in some detail, but will not be developed as a VA Alternative.
- N/A Not Applicable
- ABD Already Being Done

The entire idea list and evaluation are included on the following pages.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
AG-1	Mandate Partnering for all Imperial County projects over \$3 million	5	↑	↑	↑	↑	↑	↑	X	X	X	X	X	X			X	X	X	X
*	Require Caltrans Design Manager and Environmental Stewardship Branch to participate in construction partnering meetings (also traffic, safety reviewer, maintenance, etc)	With AG-1																		
AG-2	At site plan review phase, for any project, local agency should involve Caltrans Planning and ICTC (possibly IID if appropriate) for <u>general</u> comments	4	↑	↑	↑	↑	↑	↑	X	X	X		X	X				X	X	X
AG-3	Develop (City of El Centro) template conditions (similar to Caltrans special provisions) for potential Caltrans impacts	4	↑	↑	↑	↑	↑	↑	X	X	X	X	X	X				X	X	X

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
*	Require, as a condition of filing for a building permit, that the developer provide evidence of approval to proceed (or no need therefor) by Caltrans and/or other regulatory agencies (e.g., school district, air quality control district) for smaller projects	With AG-3																		
AG-4	Hire Caltrans to do local work within State right of way once scope is defined	4	↑	↑	↑	--	↑	--	X	X	X	X	X	X	X	X	X			X
*	Allow project sponsor to select/approve Caltrans staff that will be involved in the project, and Caltrans to be involved in selection of City's consultant(s)	With AG-4																		

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
*	Work together to identify funding sources and pursue them – e.g., for QA or Construction (Caltrans does IQA only per legislative guidelines; if more work is needed, a funding source is needed)	With AG-4																		
AG-6	Develop a communications plan to specify individuals who will be participating in projects under \$5 million	4	↑	↑	↑		↑	↑	X	X		X		X					X	X
*	For projects under \$5 million, develop project org chart with brief definition of roles and responsibilities	With AG-6	↑	↑	↑		↑	↑	X	X		X		X					X	X
*	Conduct meetings to define roles and responsibilities before co-op agreement is written	With AG-6																		
AG-8	Formalize process for documenting oversight project activities from start to finish	5	↑	↑	↑		↑		X	X	X	XX		X	X	X	X	X	X	X

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions										
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge
*	Implement a notification to executive management for late reviews (twitter – oh no you didn't)	With AG-8																	
*	Require responses to Caltrans review comments, including how they were addressed, within specific timeframe	With AG-8																	
*	Establish basic ground rules and expectations for review comments (i.e., explain why we say “no” to something – provide justification)	With AG-8																	
*	Require Caltrans oversight engineer to synthesize all review comments and assess their appropriateness	With AG-8																	
*	Resolve conflict during construction using specific past examples from both agencies to inform justification for pro/con, or starting point for discussion	With AG-8																	

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
AG-9	Develop Oversight Manual for design processes	4	↑	↑	↑				X			X		X	X	X	X		X	X
AG-10	Create pamphlet type guidance for local partners	4	↑	↑		↑	↑	↑	X					XX	X				XX	X
AG-11	Align Caltrans processes and timelines with those of local partner(s) at an early meeting (share lessons learned from previous projects – share corporate knowledge)	4	↑	↑	↑	↑	↑	↑	X	X	X	X	X	X			X	X	X	X
*	Develop MOU or Charter at project start to document goals and intentions	With AG-11																		
AG-13	Establish escalation ladder at beginning of oversight process	5	↑	↑	↑				X	X	X	X		X	X		X		X	X
AG-14	City: consider hiring consultants via multi-year task order contract	3	↑	↑			↑	↑	X	X	X			X	X	X	X	X	X	X
FC-1	Have Local Partners Fair/Networking Event annually for locals to present project exhibits for Caltrans feedback	PS							X					X			X		X	X

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
*	Include various Caltrans functional reviewers to present their processes via chats with partners	With FC-1																		
FC-2	Provide regular and routine training to local partners and elected officials (e.g., to explain how signal warrants, speed limits, etc. are developed and implemented)	PS							X					X					X	X
*	Integrate risk management plan with escalation ladder on sensitive projects	With FC-2																		
*	Conduct customer service training related to real Caltrans examples/ scenarios	With FC-2																		
*	Create fun, educational video about what Caltrans does and why (training)	With FC-2																		
FC-4	Begin formal Partnering at beginning of Caltrans oversight process	5	↑	↑	↑	↑	↑	↑	X	X	X	X	X	X					X	X

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
FC-8	Have locals provide seed money to Caltrans for project reviews and oversight that will be reimbursed if project results in State highway betterments	ABD																		
FC-10	Market Imperial County teambuilding meetings as opportunity for locals to tell Caltrans what's coming in their area and any issues or concerns they have	ABD							X				X	X					X	X
FC-12	Balance travel for meetings with Imperial County partners	PS							X	X	X		X	X					X	X
FC-13	Have Caltrans management emphasize importance of existing guidance related to design and construction working together throughout construction process	PS																		
FC-14	Create an award or recognition program for local partners and stakeholders who have successfully partnered on projects	PS																		

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
FC-15	Have quarterly or biannual meeting (summit) of MPO/CTC, Caltrans management, cities, and counties to discuss issues and concerns	N/A																		
DA-1	Have a Caltrans quarterly status meeting on local projects that are active and/or deemed to be sensitive by IGR branch	PS																		
DA-2	Develop sensitivity rating for local partners	5	↑	↑	↑		↑	↑	X	X	X		X	X				X	X	X
*	Require local agencies to provide prioritized list of their projects	With DA-2																		
DA-5	Institutionalize the lessons learned survey	PS																		
DA-7	Implement a change management process to trigger upper management review if/when staff wants to change a previously approved design or solution	N/A																		

* Original idea number deleted when concept combined with another idea.

Idea No.	Creative Idea	Rank	Performance Criteria						Functions											
			Schedule	Customer Satisfaction	Decision-Making	Scope Definition	Risk Impacts	Context Sensitivity	Foster Collaboration	Promote Respect	Build Trust	Define Accountability	Align Goals	Create Awareness	Approve Project	Review Plans	Offer Solutions	Identify Risks	Transfer Knowledge	Communicate Expectations
DA-8	For permits on jobs over \$1 million, create time limits on review time	3	↑↑	↑					X	X		X			X	X				X
DA-13	Have a Caltrans rep do an initial site visit for sensitive project	5	↑	↑	↑	↑	↑	↑	X	X	X	X	X	X			X	X	X	X
DA-14	Provide desk space for mutually selected consultants in Caltrans offices	4	↑	↑	↑	↑	↑	↑	X	X	X		X	X	X	X	X	X	X	X
DA-15	Provide time limits and clearly define roles relative to CCOs prior to changes becoming critical path.	2																		
OS-2	Encourage ownership of oversight projects by Caltrans staff (as opposed to it being extra work) –recognizing Caltrans investment (time and resources) in project (ROI analysis?)	3																		

* Original idea number deleted when concept combined with another idea.

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OVERSIGHT REQUIREMENTS

BACKGROUND

An oversight project is any project within the existing or future State highway right-of-way with a construction cost of \$300,000 or greater, where the local agency administers the construction contract under the terms of an encroachment permit. Oversight projects are financed in whole or in part by a local agency.

As the owner and operator of the State Highway System, Caltrans carries the responsibility to uphold the design standards developed to provide a safe and operable highway for the traveling public. The local agency shares the responsibility for public safety.

A local agency is defined as any public entity (federal, state, regional transportation planning agency, county, city, or other local government entity) that sponsors or administers a construction contract on the state highway system. In addition, any private entity that sponsors or administers construction contracts on the state highway system can be considered a local agency.

Oversight projects sponsored by local agencies with an estimated construction cost of \$1 million or more are constructed under the terms of a cooperative agreement and encroachment permit.

Oversight projects sponsored by private entities, with an estimated construction cost of \$1 million or more, are constructed under the terms of a Highway Improvement Agreement and encroachment permit.

Oversight projects with an estimated construction cost of less than \$1 million, in some cases may be constructed under the terms of an encroachment permit only. Certain projects, such as those involving signal construction, landscaping, or sound walls, may require a cooperative or maintenance agreement.

In every agreement, regardless of who takes the lead, each party protects its own interests, including:

- Appropriate use of State and local resources
- Adequate protection of the State Highway System and local transportation system
- Adequate protection of Caltrans' responsibilities as owner and operator

INFORMATION PROVIDED TO THE VA TEAM

The following documents were provided to the VA team for their use during the study:

- Cooperative Agreement No. 11-0637 for 11-IMP-8, EA 28560K, Signalization/IC Improvements, dated October 18, 2008
- Tri-Party Agreement dated August 4, 2003 between County of Imperial, City of El Centro, and Imperial Valley Mall, L.P.

- Caltrans “Oversight Engineer Field Guidelines” dated June 2005
- Field Guide to Partnering on Caltrans Construction Projects dated July 2008
- Various Caltrans policies, directive memoranda, and manuals including, but not limited to, the Project Development Procedures Manual (PDPM), the Construction Manual, and PEAR Handbook (Guidelines for Preparing a Preliminary Environmental Analysis Report)
- Imperial Valley Association of Governments “San Diego-Imperial Country I-8 Corridor Strategic Plan” dated February 2009

VALUE ANALYSIS PROCESS

INTRODUCTION

The Caltrans Value Analysis process typically involves fifteen activities needed to accomplish a VA Study, organized into three parts: Preparation, VA Study, and Report. The Caltrans VA Study Activity Chart (included in this section) describes each activity.

For this process improvement VA study, the tasks performed are summarized below.

PREPARATION

Prior to the start of the VA study, the District 11 VA Manager and Team Leader met with the study sponsors to plan the study, discuss who would be involved, and define the study goals and objectives. The study outcomes are intended to address lessons learned from the I-8/Dogwood project in Imperial County, and use those as a basis for developing improved collaboration strategies on future projects with local partners. To gather the lessons learned data, the VA Manager distributed a web-based “Survey Monkey” questionnaire to the project participants. In addition, the VA Team Leader interviewed several of the participants by phone. The results of the surveys and interviews became the catalyst for the VA study activities.

VA STUDY

There are ten activities carried out by the VA team during the performance of the study, organized in three segments. For this VA study, Segments 1 and 2 were conducted over two multi-day periods, with additional activities via e-mail to review and finalize the VA Alternatives.

Segment 1

- ♦ **Inform Team** – Receive process information; develop process flow charts; list preliminary performance criteria.
- ♦ **Analyze Functions** – Identify basic functions; prepare FAST diagram.
- ♦ **Create Ideas** – List a large quantity of alternative ideas; use group/individual brainstorming.
- ♦ **Evaluate Ideas** – Evaluate all ideas against performance criteria; rank all ideas.

Segment 2

- ♦ **Develop Alternatives** – Develop high-ranked ideas into VA alternatives; quantify impacts.
- ♦ **Critique Alternatives** – Team and Technical Reviewer review of alternatives to develop and ensure team consensus and technical viability. Develop and rate recommended VA alternatives.
- ♦ **Present Alternatives** – Give interim presentation of alternatives; prepare preliminary report.

Segment 3

- ♦ **Assess Alternatives** – Review alternatives; prepare draft implementation decisions.
- ♦ **Resolve Alternatives** – Resolve dispositions; edit and revise alternatives; summarize results.
- ♦ **Present Results** – Give final presentation of accepted alternatives.

Because of contractual limitations, the District VA Manager will facilitate the Segment 3 and Final Report activities.

REPORT

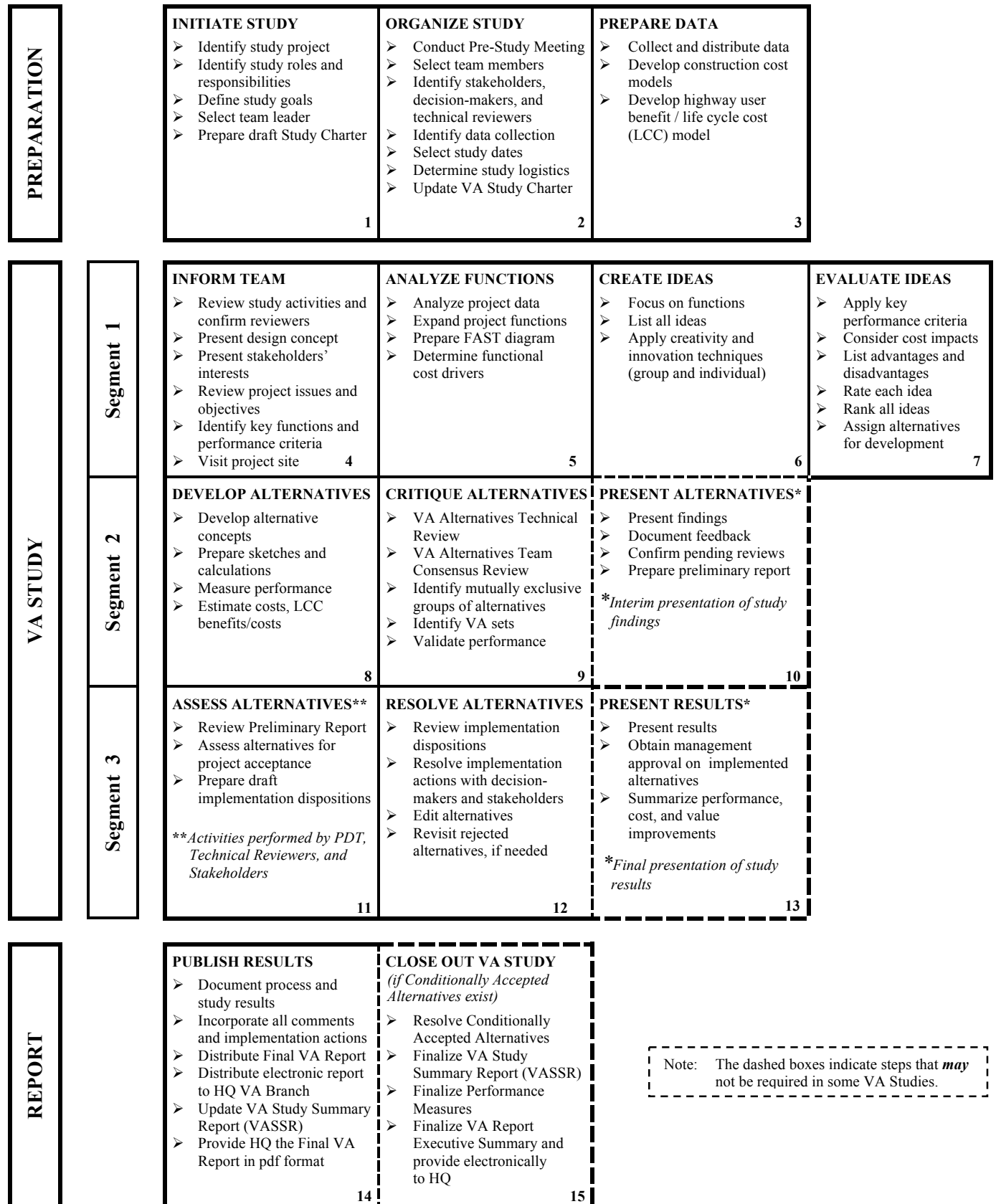
Following the VA study, the Team Leader assembles all study documentation into the final report:

- ♦ **Publish Results** – Prepare Final VA Study Report; distribute printed and electronic copies.
- ♦ **Close-Out VA Study** – Resolve open conditionally accepted VA alternatives and update the Executive Summary and VASSR. Provide final deliverables to the HQ VA Branch.

The VA study is complete when the report is issued as a record of the VA team's analysis and development work, as well as the study sponsors' implementation dispositions for the alternatives.

The VA Study Agenda and Meeting Attendees sheet are included at the end of this section.

Caltrans Value Analysis Activity Chart





**California Department of Transportation
District 11, Oversight Process Improvement for
Local Projects on the State Highway System (SHS)**

VA STUDY AGENDA

Tuesday, May 16 – Fairfield Inn, El Centro, CA

- 9:00 AM Introductions, Purpose of Meeting/Review of Agenda
9:20 AM VE Study Goals & Objectives
9:45 AM
 - Review of survey and telephone interview results
 - Issues, Problems, Constraints associated with current processes
10:30 AM Break
10:45 AM Continue discussion
12:00 PM Lunch Break
1:00 PM Continue discussion; revisit Performance/Evaluation Criteria
2:30 PM Break
2:45 PM Function Analysis
 - Random generation of process functions
 - Development of FAST diagram(s)
5:00 PM Adjourn

Wednesday, May 17– Fairfield Inn, El Centro, CA

- 8:30 AM Recap/Review
9:00 AM Additional Information Discussion
10:15 AM Break
10:30 AM Team Brainstorming/Generation of Ideas
11:30 AM Lunch
12:30 PM Team Brainstorming (continued)
2:15 PM Break
2:30 PM Team Brainstorming (continued)
5:00 PM Adjourn

Thursday, May 18– Fairfield Inn, El Centro, CA

- 8:30 AM Evaluation of Ideas
10:15 AM Break
10:30 AM Evaluation of Ideas (continued)
12:00 PM Lunch Break
1:00 PM Finalize Evaluation/Prioritization of Ideas
1:30 PM Adjourn; return to San Diego

**Tuesday, May 24 – Caltrans, Miramar Lakes
Conference Room – Bldg. 2, Floor 4**

- 8:30 AM Status Summary/Update
9:00 AM VA Alternative Development – Confirmation of Assignments, Instructions for Write-Ups
9:30 AM VA Alternative Development
11:30 AM Lunch Break
12:30 PM Continue VA Alternative Development
5:00 PM Adjourn

**Wednesday, May 25 – Caltrans, Miramar Lakes
Conference Room – Bldg. 2, Floor 4**

- 8:30 AM Continue VA Alternative Development
11:30 AM Lunch Break
12:30 PM Continue VA Alternative Development
5:00 PM Adjourn

**Thursday, May 26 – Caltrans, Miramar Lakes
Conference Room – Bldg. 2, Floor 4**

- 8:30 AM Team Review/Ranking of VA Alternatives
12:00 PM Lunch Break
1:00 PM Finalize Team Review/Ranking of VA Alternatives
4:00 PM Adjourn

**Wednesday, June 15 – Caltrans, Dotson Tele-
Conference Room – Bldg. 1, Floor 1**

- 1:00 PM Informal Presentation of VA Study Results
3:00 PM Adjourn

VA STUDY MEETING ATTENDANCE

District 11 Oversight Process Improvement for Local Projects on SHS

Caltrans

2011									NAME and ORGANIZATION	ROLE IN PROJECT AND/OR VA STUDY	CONTACT INFORMATION		
Apr 27	Apr 28	May 17	May 18	May 19	May 24	May 25	May 26	Jun 15			E-MAIL	OFFICE TELEPHONE	CELL TELEPHONE
X	X	X	X	X	X	X	X	X	Ginger Adams Advantage Facilitation Services	CVS Facilitator	ginger@advantagefacilitation.com	970-223-0703	970-222-9505
X	X	X	X	X	X	X	X	X	Chili Cilch Caltrans District 11	VA Program Manager	chili_cilch@dot.ca.gov	619-688-4217	619-846-7684
X									Anthony Aguirre Caltrans District 11		anthony_aguirre@dot.ca.gov	619-688-3161	
X	X	X				X	X	X	Jacob Armstrong Caltrans District 11		jacob_armstrong@dot.ca.gov	619-688-6960	619-709-4345
X	X	X	X	X	X	X	X	X	Karen Jewel Caltrans District 11		karen_jewel@dot.ca.gov	619-688-6640	858-518-3405
X		X	X	X	X				John Gay City of El Centro	Project Manager/Administrator	jgay@cityofelcentro.org	760-337-5182	760-604-2525
X									Marisa Hampton Caltrans District 11		marisa_hampton@dot.ca.gov	629-688-6954	
X									Manuel Ortiz Imperial County	Assistant County Engineer	manuelortiz@co.imperial.ca.us	760-482-4462	
X					X				Leila Ibrahim Caltrans District 11		leila_ibrahim@dot.ca.gov	619-688-6802	
X					X			X	Bill Figge Caltrans District 11	Deputy Director, Planning	bill_figge@dot.ca.gov	619-688-6681	619-704-4620



VA STUDY MEETING ATTENDANCE

District 11 Oversight Process Improvement for Local Projects on SHS

Caltrans

2011									NAME and ORGANIZATION	ROLE IN PROJECT AND/OR VA STUDY	CONTACT INFORMATION		
Apr 27	Apr 28	May 17	May 18	May 19	May 24	May 25	May 26	Jun 15			E-MAIL	OFFICE TELEPHONE	CELL TELEPHONE
X	X	X	X	X	X	X	X	X	Sam Amen Caltrans District 11	Project Manager	sam_amen@dot.ca.gov	619-718-7835	619-606-3485
X					X			X	Mark Baja Imperial County Transportation Commission	ICTC Representative	markbaza@imperialctc.org	760-592-4494	760-604-5508
	X		X		X	X	X	X	Chris Thomas Caltrans District 11	Design	chris_thomas@dot.ca.gov	619-688-3620	619-241-5491
		X						X	Ted Olson Caltrans District 11	Construction Partnering	ted_olson@dot.ca.gov		858-688-1594
			X	X	X			X	Abraham Campos City of El Centro		acampos@cityofelcentro.org	760-336-8520	760-604-3799
								X	Bill Brunet County of Imperial	Director of Public Works	williambrunet@co.imperial.ca.us	760-482-4462	
								X	Gary Vettese Caltrans District 11	Deputy District Director, Design	gary_vettese@dot.ca.gov		
								X	Ross Cather Caltrans District 11	Deputy District Director, Program/Project Mgmt.			



ADVANTAGE



FACILITATION SERVICES

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